



# AU-2

## Guidelines for Command





## **AU-2**

# **GUIDELINES FOR COMMAND**

A Handbook on the Leadership of People  
for  
Air Force Commanders and Supervisors

Publication Prepared  
by  
Air Command and Staff College

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# Contents

<i>Chapter</i>		<i>Page</i>
	DISCLAIMER . . . . .	ii
	FOREWORD . . . . .	ix
	PREFACE . . . . .	xi
1	TAKING COMMAND . . . . .	1
	What Is Command? . . . . .	1
	Command and Accountability . . . . .	2
	Leadership and You . . . . .	3
	Becoming Aware of Responsibilities . . . . .	3
	Suggestions on Taking Command . . . . .	5
	Advice to Commanders . . . . .	8
	Air Force Standards . . . . .	10
	Geographically Separated Units . . . . .	13
	Commander's Checklist . . . . .	14
	A Final Word . . . . .	15
	Notes . . . . .	15
2	LEADERSHIP IN THE NEW MILLENNIUM . . . . .	17
	Leadership versus Management . . . . .	17
	Qualities of Leadership . . . . .	20
	Vision . . . . .	23
	Empowerment . . . . .	25
	Learning . . . . .	27
	Followership . . . . .	31
	Dealing with Change . . . . .	34
	Commander's Checklist . . . . .	36
	Selected Readings . . . . .	37
	Notes . . . . .	37
3	BASE AGENCIES . . . . .	39
	American Red Cross . . . . .	39
	Area Defense Counsel . . . . .	40
	Office of Special Investigations . . . . .	40
	Wing Chaplain . . . . .	41
	Comptroller . . . . .	41
	Military Equal Opportunity . . . . .	43
	Staff Judge Advocate . . . . .	43
	Inspector General . . . . .	44
	Safety . . . . .	44
	Public Affairs . . . . .	45
	Logistics Plans . . . . .	46

	Command Chief Master Sergeant . . . . .	46
	Medical Group . . . . .	46
	Base Civil Engineering Squadron . . . . .	47
	Communications Squadron . . . . .	49
	Contracting Squadron . . . . .	50
	Mission Support Squadron . . . . .	51
	Security Forces Squadron . . . . .	56
	Services Squadron . . . . .	57
	Supply Squadron . . . . .	57
	Transportation Squadron . . . . .	57
	Commander's Checklist . . . . .	58
4	ADMINISTRATIVE LEADERSHIP—MILITARY . . . . .	61
	Individualized Newcomer Treatment and Orientation (INTRO) Program . . . . .	61
	Commander's Call . . . . .	63
	Awards and Decorations . . . . .	64
	Promotion (Airmen) . . . . .	65
	Military Equal Opportunity and Treatment Program . . . . .	69
	Religious Accommodation . . . . .	70
	Safety . . . . .	71
	Leave, Passes, Compensatory Time, and Permissive Temporary Duty . . . . .	72
	Humanitarian Reassignment/Deferment . . . . .	75
	Evaluation Reports . . . . .	77
	Enlisted Professional Military Education . . . . .	78
	Enlisted Specialty Training . . . . .	79
	Casualty Services Program . . . . .	80
	Base Driving Privileges . . . . .	81
	Dormitory Management . . . . .	82
	Airman Reassignment Restrictions . . . . .	83
	Selective Reenlistment . . . . .	83
	Family Care Program . . . . .	85
	The Air Force Weight and Body Fat Management Program and the Air Force Fitness Program . . . . .	87
	Financial Responsibility . . . . .	92
	Drug and Alcohol Abuse . . . . .	93
	Drug Testing/Urinalysis Program . . . . .	94
	Child Abuse, Child Neglect, and Spouse Abuse . . . . .	96
	Support of Dependents . . . . .	98
	Information—Disclosure of Air Force Records . . . . .	99
	Line of Duty and Misconduct Determinations . . . . .	100
	Investigations and Inquiries . . . . .	103
	Nuclear Weapons Personnel Reliability Program . . . . .	106

	Counseling . . . . .	107
	Unfavorable Information File . . . . .	108
	Control Roster . . . . .	109
	Reprimands . . . . .	110
	Nonjudicial Punishment (Article 15, <i>UCMJ</i> ) . . . . .	111
	Rights of Suspects (Article 31, <i>UCMJ</i> ) . . . . .	114
	Administrative Demotion . . . . .	117
	Administrative Discharge (Airmen) . . . . .	119
	Administrative Discharge (Officers) . . . . .	123
	Absent without Leave . . . . .	124
	Courts-Martial Charges . . . . .	126
	Pretrial Confinement . . . . .	128
	Searches and Inspections . . . . .	130
	Reports of Survey . . . . .	133
	Arrest by Civilian Authorities (United States Only) . . . . .	135
	Protest and Dissident Activities . . . . .	137
	Terrorism . . . . .	140
5	ADMINISTRATIVE LEADERSHIP—CIVILIANS . . . . .	143
	Career Management . . . . .	143
	Equal Employment Opportunity and Affirmative Employment Programs . . . . .	144
	Grievance Procedures . . . . .	145
	Labor-Management Relations . . . . .	146
	Leave Administration (Civilians) . . . . .	148
	Merit Promotion Program . . . . .	150
	Performance Management Program . . . . .	151
	Position Classification and Descriptions . . . . .	152
	Standard of Conduct and Disciplinary Actions for Unacceptable Performance . . . . .	154
	Supervision of Civilian Personnel . . . . .	155
6	DECISION-MAKING TOOLS FOR A COMMANDER . . . . .	157
7	COMMANDERS AND THE INFORMATION AGE . . . . .	165
	Your Unit's Communication and Information Needs . . . . .	165
	Procurement and Use of Wireless Communications . . . . .	166
	Fitting into the Global Information Grid . . . . .	166
	Certificates Necessary for Operation . . . . .	167
	Air Force Way . . . . .	167
	Commander Responsibilities for Computer/Telephone Misuse . . . . .	167

<i>Chapter</i>		<i>Page</i>
	Command and Control (C <sup>2</sup> ) Systems . . . . .	169
	Information Assurance . . . . .	170
	Spectrum-Management Support . . . . .	171
	Publications/Forms Management . . . . .	171
	3AXXX Personnel as Work-Group Managers . . . . .	171
	Records Management . . . . .	172
	Teamwork—Keeping Your Communications Squadron in the Loop . . . . .	172
	Notes . . . . .	173
8	DEPLOYMENT AND THE COMMANDER . . . . .	175
	The Expeditionary Air and Space Force Concept . . . . .	176
	Planning and Reporting . . . . .	177
	Predeployment . . . . .	179
	Deployment/Redeployment . . . . .	181
	Postdeployment . . . . .	184
	Summary . . . . .	184
	Definition of Terms . . . . .	185
	Commander's Checklist . . . . .	186
	Notes . . . . .	188
9	SENSITIVE ISSUES . . . . .	189
	Air Force Relations with Congress . . . . .	189
	Environmental Law . . . . .	191
	Fraternization and Professional Relationships . . . . .	195
	Human Immunodeficiency Virus Program . . . . .	196
	Homosexual Conduct . . . . .	198
	Misconduct of Senior Officials . . . . .	202
	Sexual Harassment . . . . .	204
	Standards of Ethical Conduct . . . . .	205
10	JOINT DOCTRINE . . . . .	209
	Notes . . . . .	212
	APPENDIX . . . . .	213

### **Illustrations**

<i>Figure</i>		
1	Administrative Demotion Flowchart . . . . .	119
2	Flowchart for Analyzing Inoperable Copy Machine . . . . .	158
3	Example of a Pareto Chart . . . . .	160

<i>Figure</i>		<i>Page</i>
4	Example of a Run Chart .....	161
5	Example of a Cause-and-Effect Diagram .....	162
6	Example of a Histogram .....	163
7	Example of a Scatter Diagram .....	163
 <i>Table</i>		
1	Managers and Leaders: Behavioral Comparison .....	18
2	Managers and Leaders: A Comparison .....	19
3	Example of a Check Sheet .....	159
4	Maximum Penalties for Violating Federal Environmental Requirements .....	194



## Foreword



Congratulations! You have just been entrusted with the most responsible job in the Air Force—you are a *commander*. The people you command have, like you, made the decision to answer a higher calling—to serve. They will trust you, depend on you, believe you, be inspired by you, and follow you. Your personal and professional standards will be imitated, your character and integrity will be judged by your actions, and your actions will speak much louder than your words.

Command is the ultimate expression of leadership, and leadership is about people. You must never confuse leadership with management. You lead people and manage things. Leadership is an analog skill in a digital world. There is no such thing as leadership by E-mail or by metric. It's about being there, on the flight line or in the workplace, in the heat or snow or rain, face-to-face in real conversation with your people. It's about knowing them and understanding what they do. It's about dispensing justice without fear or favor. It's about letting them know how important they are to the nation and to the Air Force, and how proud they should be of themselves. They will be proud of themselves if you are proud of them—you must lead them toward that pride. My father taught me two things about leadership that I have always found to be true: (1) 90 percent of leadership is just being there, and (2) leaders always know the right thing to do. Great leaders have the courage to do it.

*Guidelines for Command* is a tremendous resource and practical guide to help you succeed in this task. This book sums up many of the thoughts of previous commanders who have learned tough lessons through the crucible of command. It will prove a valuable “tool in your box” as you set out on one of the best experiences of your life.

My best wishes and Godspeed in your new role as a commander!

A handwritten signature in black ink, reading "John P. Jumper".

JOHN P. JUMPER  
General, USAF  
Chief of Staff

# Preface

The verb *command* means to exercise authority over, to rule, to dominate by location or overlook. The noun *command* defines the act of giving orders, the authority to command, the ability to control, mastery, and a unit or post under the authority of one officer. Command entails much more than its definition implies. It is about people—your people. As commander, you will be responsible for ensuring that the people assigned to your squadron have the opportunity to develop professionally. You may also be the one to help them on a personal level at some point in their career. You are their commander—the one whom they will look to for leadership, guidance, and occasionally, comfort. You are the disciplinarian—empowered by the US Air Force to take steps necessary to enforce good order and discipline in your command. Command is your responsibility and cannot be taken lightly.

People are the most important resource in any organization. There are numerous schools of thought on the effective management of people. However, none entails an exact formula or solution that works for every commander in every situation. Managing people is fraught with numerous problems and issues.

Two principle purposes guided the writing of this handbook. The first part of most chapters is in narrative format for the use of Air University course instructors. The second part of some chapters contains checklists to assist current commanders. The concentration is on people—not mission, money, or materiel.

Chapter 1, “Taking Command,” provides insight into the initial duties and responsibilities of a commander. It can also serve as a refresher for experienced commanders. Chapter 2, “Leadership in the New Millennium,” focuses on the various challenges and aspects of leading people. Chapter 3, “Base Agencies,” focuses on the squadrons commanders will interface with for staff support and support services. It covers the variety and extent of most services offered on an installation. Chapter 4, “Administrative Leadership—Military,” covers a number of substantive areas that a commander will likely face in dealing with military personnel. The chapter addresses “quality force” issues such as administrative discharge, control roster, performance reports, promotion, reenlistment, unfavorable information files (UIF), and weight control. It also includes areas that help motivate personnel such as commander’s calls, awards and decorations, and the newcomer program. Chapter 5, “Administrative Leadership—Civilians,” deals with the uniqueness of the civilian personnel system. Chapter 6, “Decision-Making Tools for a Commander,” provides useful tools a commander can use to effectively manage the unit. Chapter 7, “The Commander and the Information Age,” presents the various information tools available to assist in managing personnel. Systems such as the new Air Force military personnel data system modernization (MILMOD) are presented to educate commanders about current and future technologies and to assist them in decision making and personnel management. Chapter 8, “Deployment and the Commander,” explores issues that commanders must address in preparing their commands to deploy in support of exercises and real-world contingencies. The chapter focuses on predeployment, deployment, and redeployment issues. Chapter 9, “Sensitive Issues,” deals with issues such as sexual harassment, homosexual policy, and the joint ethics regulation. Chapter 10, “Joint Doctrine,” provides a quick reference of the doctrinal guidance put forth by the chairman, Joint Chiefs of Staff.

The information in this book will help you advise both military and civilian members of your command. One word of caution: All references cited in this book, although current at the time of printing, require a check for currency before you use them to initiate any action.

It is the sincere hope of the authors that you make this book your own. Add to the checklists as you feel appropriate, make notes in the margins, and update the information. If you believe that your revisions will have value for other commanders and supervisors, please share them by sending your input to the following address:

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Maxwell AFB AL 36112-5542  
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Your suggestions will assist in preparing the next revision of this text. The Air Command and Staff College plans to revise this book periodically to keep it up-to-date and to make it of greater practical value. The authors built on the work of several previous student teams and faculty advisors, which made our task much easier. To those who have gone before us and laid the groundwork, you have our gratitude. We also acknowledge the assistance of many staff offices and personnel on Maxwell Air Force Base/Gunter Annex, Alabama, who provided their expertise in our research.

Finally, we wish to thank our colleagues at Air University Press for their expertise in editing, formatting, and printing assistance. We wish to express our special thanks to our faculty advisor, Lt Col James Tripp, who provided the leadership and support for this important project.

Maj David Beens  
Maj Gary Obermeyer  
Maj Barb Yancey  
Maj Jeff Butler

Maj Barre Sequin  
Maj Charles Kearney  
Maj Tom Snyder  
Maj Scott Musser

Maj Guermantes Lailari  
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## **Taking Command**

*Good leaders are people who have a passion to succeed. . . . To become successful leaders we must first learn that no matter how good the technology or how shiny the equipment, people-to-people relations get things done in our organizations. People are the assets that determine our success or failure. If you are to be a good leader, you have to cultivate your skills in the arena of personal relations.*

—Gen Ronald R. Fogleman  
Former USAF Chief of Staff

Congratulations! You have just learned that you are going to be a commander. After the initial feelings of exuberance and pride wear off, you will probably experience some feelings of anxiety and, perhaps, apprehension when you consider just how important your new job will be. Though command of a unit is something to which most officers aspire, it is never easy. It is, however, arguably the most rewarding job you will ever have.

This chapter contains ideas and suggestions that will help you assume command or begin supervision of any sizable organization. The ideas and suggestions are based upon principles that have proven their worth over the course of time. Mastery and thoughtful application of these principles will help you excel in your new position and avoid mistakes early in your tenure as a commander or supervisor.

### **What Is Command?**

#### *Definition of command*

Command is the legal authority to direct and order subordinates to perform duties or accomplish actions to attain military objectives. Commanders have legal authority by virtue of their rank and assignment.

Successful military operations depend on unity of command. There must be a single commander at each level of command, and each commander must know what is expected of that command. Although authority exists for commanders to delegate to a lower command or staff element, overall responsibility for the success or failure of the unit's mission rests solely with the commander. The commander's leadership is key to the unit's success.

#### *Commanding and leading*

There is a significant difference between commanding and leading. Given the authority, anyone can command. Leading, on the other hand, is a delicate art calling for people-oriented attributes that many may find elusive or difficult to develop. Even

so, you can learn and develop these attributes by study, application, and determination.

People merely obey arbitrary commands and orders, but they respond quickly and willingly to leaders who genuinely care for them—“they’re eager to go the extra mile.”

## **Command and Accountability**

*Leaders lead by example and set the tone. Above all, they do not countenance selective enforcement of standards. I know of no more ruinous path for commanders than selective enforcement of rules and standards. . . . Excellent leaders have very high standards, and they enforce them without fear or favors.*

—Gen W. L. Creech

*Hold your people  
and yourself  
accountable*

Every text ever written on the art of command stresses one undeniable fact: Commanders must be ready to hold themselves and their people accountable for their actions. You, as commander, are responsible for ensuring that the mission is accomplished. Inhibitors to this task, such as the continued presence of ineffective, untrainable, or intractable subordinates, drain the organization and rob it of time, energy, and the attention needed for mission accomplishment. You must be willing to remove people for cause. Failure to do so when required makes commanders guilty of the worst kind of mismanagement. The result may sometimes be tragic. The most obvious example is the failure to remove or otherwise correct an unsafe pilot, which culminates in needless and inexcusable deaths.

*Apply discipline  
fairly and  
consistently*

You serve no one—not the unit, not the Air Force, and, especially, not individuals—when you keep people in responsible positions after they have proven either unwilling or incapable of doing their jobs. In today’s streamlined Air Force, high standards are essential and must be enforced. Rationalized responses to misconduct such as “I don’t want to damage the individual’s record” or “the offender is a good airman/officer/civilian” simply mean the commander didn’t have the integrity to make the hard call.

Gen John M. Loh, former commander of Air Combat Command, offers the following advice for you: “Don’t look the other way to avoid having to face a difficult problem. Commanders must be able to distinguish between mistakes and crimes and deal with them differently. They must apply discipline fairly and consistently across-the-board without regard for friendship, rank, or other discriminators. They have to avoid favoritism, nepotism, and cronyism in all their forms. Finally, they have to know when to administer discipline and when to practice compassion and not get the two mixed up.”<sup>1</sup>

## **Leadership and You**

Webster defines a leader as “a person who leads, directs, commands, or guides a group or activity.” The definition is simply stated, but the underlying implications of leadership are many and run deeply.

*Essentials of  
leadership  
involvement*

As a conscientious commander or supervisor, you know and practice the basic principles of leadership every day. Among these principles is one that is neglected in today’s fast-paced environment of technology and specialization—knowing the people who work for you. This is more than knowing their first names; it’s showing sincere interest in their problems, career development, and welfare. People are the key to mission accomplishment. The following quotation from Air Force Manual (AFM) 1-1, *Basic Aerospace Doctrine of the United States Air Force* (18 March 1984), is still relevant:

In every sense, US Armed Forces belong to the people, and the ultimate success in committing these armed forces to achieve an objective will rely on the support of the people. To ignore this relationship is to invite defeat. Men alone, or machines alone, do not spell success: how men use machines in the combat environment, and the spirit of leadership that guides that use will spell victory or defeat.

Gen Merrill A. McPeak, as Air Force chief of staff, made the following statement on leadership, which is still appropriate today:

*Competency  
and character*

I believe the essentials of leadership can be summed up in two words: competence and character. Unless you understand your profession, unless you know the details, your judgment will not be trusted—you cannot lead. This understanding, this knowledge, in a word, this competence, can only be acquired by hard work. But, it’s not enough that a leader knows his business. He must be reliable. A whole range of attributes comes into play here—honesty, loyalty, integrity—and we summarize these as character.

*Vision*

One of the most dominant characteristics a leader must portray in these times is a sense of vision. A vision of where he or she wants that organization to go and what that organization should be thought of.

General Loh made this statement about the role of leadership: “A good leader sets goals, measures progress, and rewards performance. He or she tries to give everyone a stake in the mission of the organization and its outcome. That’s the role of leadership.”<sup>2</sup>

*Development  
and motivation of  
subordinates*

As a commander or supervisor, you can exert positive or negative influences on your people. The final measure of your leadership image is reflected through the degree of efficiency, productivity, morale, and career motivation of your people.

## **Becoming Aware of Responsibilities**

*Lead, not drive,  
your people*

You assume full responsibility for accomplishing the unit’s mission, with minimum cost in people, materiel, and money. The

key element in your command—the element that will do the most toward accomplishing the mission—is your leadership. If you are an effective leader, you will lead, not drive, your people. You will make fair and firm decisions on their behalf and in the interest of good order, discipline, and the successful accomplishment of the mission.

*Understand your job*

You must understand the scope of your responsibilities and know what expectations people have of you as the commander. However, before proceeding with an analysis of your job, you should first find out whether you are ready to accept the challenge of a command or major supervisory position. To do this, ask yourself the following questions:

- Am I willing to dedicate myself solely to my unit?
- Are members of my family willing to assume their roles in helping me create a quality, caring Air Force community?
- Is my family willing, if necessary, to be secondary to the unit, squadron, group, or wing?
- Are my family and I willing to live in a “fishbowl,” open to observation and criticism by both subordinates and superiors?
- Am I physically and emotionally fit to carry the load?
- Do I have the courage to make tough decisions and stand by them?
- Am I flexible when dealing with changing situations? Am I willing to risk new ideas?
- Can I remain enthusiastic and cheerful when confronting seemingly impossible tasks?
- Am I willing to leave a comfortable office to check or supervise training, maintenance, and other activities of my unit?
- Am I willing to do my best with what seems inadequate means?
- Am I confident that I can produce a superior unit from average people? Can I inspire people to achieve outstanding results?
- Am I willing to take reasonable risks to allow my subordinates to grow and become more productive?
- Am I willing to let my subordinates be creative?
- Am I accessible to my troops? Does my manner invite communication?
- Do I really listen? Can I withhold judgment until the facts are in?
- Do I like to be with young people? Can I live with their energy, their points of view, and the problems they sometimes face?
- Am I always willing to accept my people’s failures as my own, yet immediately recognize their successes as theirs?
- Am I able to do many things at one time? Can I manage a complex job?
- Can I stand tough competition from similar units, while retaining a spirit of cooperation and teamwork with them?
- Can I carry out orders as well as give them?

- Do I really want to command? Am I sure that my motivation is more than simply having the command experience entered on my record?

You will probably not answer yes to all those questions. Only if you are completely honest in answering those questions, however, will you gain real insight into what lies ahead as a commander.

Even with an insight into your responsibilities, you cannot expect to be a good commander or supervisor unless you make some practical preparation for the day you will assume command or supervision. Such preparation will enable you to make a favorable first impression on your unit. Additionally, your self-preparation will help smooth out the learning curve facing every first-time commander or supervisor.

## **Suggestions on Taking Command**

*Be yourself*

You have worked long and hard for this chance to command, and you want to take full advantage of the opportunities offered in your new position as commander. Take a look at what being a commander is all about. Above all, be yourself! Develop the best traits that are in you and let them come to the fore. Col Timothy Timmons, in his book *Commanding an Air Force Squadron*, puts it very succinctly: “Don’t change—you wouldn’t be in command if you didn’t deserve it.”<sup>3</sup> The discussion that follows offers suggestions to help you.

### **Take Command; Grab Hold of It!**

*Find out all  
you can about the  
organization*

You are responsible; members of your unit are depending on you to make the right decisions and lead them toward mission accomplishment. Your unit will reflect your leadership style. You cannot afford time to ease into the job as you may have done in other jobs. You can, however, spend time finding out all you can about the job before assuming command.

If you are relieving someone who is simply moving on to another job, plan to have a closed-door conference with the incumbent before that person leaves. Get your predecessor’s views on the strengths and weaknesses of the organization and find out who its key people are.

If you are relieving someone who is being removed because of poor performance, have a conference with your new boss. Discuss specific problems that occurred in the past and still persist. Attempt to find out how much time you will have to resolve those problems. This may determine the style of leadership you should use and your pace for making changes early in your tenure.

Analyze the information obtained at these first meetings. Make a tentative inventory of what resources are available to use. Remember



that much of what the incumbent or new boss told you represents a personal view. You may see some things differently. Decide what kind of leader you will be in this situation. Does the situation require you to be directive, telling people what to do? Alternatively, can you see a greater maturity in the people of your new unit, allowing you to use a more participative leadership style? If possible, set goals before you start rather than allow events to shape your command's personality.

### **Get to Know Your People as Rapidly as Possible**

#### *Initial steps*

People are critical to the success of your unit, and, therefore, to your own success. You must understand their points of view regardless of whether you agree with them and regardless of the unit's past performance. Upon assuming command follow these three steps:

- Hold a staff meeting with your key people. Try your policy speech on them. Solicit feedback, and while they talk, listen!
- Before the first commander's call, conduct closed-door individual conferences with key staff. Ask questions about the unit's mission. You will want to know some of the recent history of the unit, its present performance and problems, and its plans for the future.
- Remember, you are seeing the unit through the eyes of your key people. Compare their perceptions with your own. Find out answers to these aspects of the organization.

#### *The unit's place in the overall organization*

#### *Strengths and weaknesses of key personnel*

#### *Unwritten policies in effect*

#### *Unit's strengths and weaknesses*

#### *Status of resources and training*

1. The unit's place in the overall organization, including the relationship of the unit to its headquarters, to collateral units, and to subordinate units.
2. Significant strengths and weaknesses of key officers and noncommissioned officers and senior noncommissioned officers (NCO/SNCO) in the unit.
3. The strengths and weaknesses of persons outside the unit required for mission accomplishment.
4. Currently understood unit policies that are in effect but are not contained in written directives.
5. The unit's strengths and weaknesses. You must know the following: specific strong points, specific problems, current status, the persons involved, key unit points of contact and action agencies, and the estimated timeline for completion. Examples of important areas to examine are unit morale, state of discipline, specific disciplinary problems, and actions used in the past to resolve those problems. Ask about the unit's safety record and its next major exercise or inspection.
6. Determine the status of available resources. Find out about the actual versus the authorized manning levels, compare unit expenditures to the total budget, and assess equipment

requirements in terms of mission requirements. Be sure to determine current training status as well.

*Your first  
commander's call*

- Use the supervisor's meeting and your first commander's call to
  1. Introduce yourself—tell who you are and where you have been—be brief and factual.
  2. Briefly but firmly state your basic operating policies concerning Air Force standards of courtesy, appearance, and discipline; general administration of the unit; management of resources; training; and safety.
  3. Make clear your feelings about officer and enlisted performance reports (OPR/EPR), promotions, personal education efforts, off-duty activities, time off, leave, passes, and similar policies.
  4. Solicit your subordinates' help in making the unit, themselves, and each other better. Say and mean you will listen to constructive criticism.

Always end your commander's call on a bright note. Indicate your awareness of the importance of the unit's mission and the critical importance of each person in the unit toward the successful accomplishment of that mission. Emphasize two-way communication by asking for questions as you go along. Let your people know you are accessible, but try not to use the overused and trite "my door is always open" statement—it turns people off. Instead, turn them on to the idea that working together, the team will accomplish great things for the unit to the benefit of everyone. Besides, if you are doing your job, you won't be in your office long enough for anyone to try out the door. You will be out where your people are, finding out what they are doing and what you can do to help them. Whatever you do, do not hide in your office—don't make excuses about heavy paperwork keeping you chained to your desk. Organize and delegate your work, reducing desk time to a minimum.

### **Let Your People Know You**

*Be seen often  
throughout the unit*

Especially in the first few weeks after you take command, be visible throughout your unit—24/7. Visit every place possible—where your people work, live, and play. Announced visits, dormitory inspections, and tours are formal requirements of command. The true leader visits every area possible—informally. He or she talks with members in their duty sections, on the flight line, and in the launch-control capsule and asks about their jobs, eats with them in the dining facility, and spends time in the dayroom and/or club. Ask the first sergeant about the best times to visit the dormitory when your troops will be around. If you tell the first sergeant you want to see troops when you visit, troops *will* be home. Chances are you will see a "rent a crowd," ordered there by your first sergeant. Establish the idea wherever you go that you

*Ask and answer  
questions*

are “the boss that people can talk to,” not only about their jobs or problems, but also about anything else.

You will get many questions about this policy or that policy, generally ending with, “What are you going to do about it?” This is a good time to get out the notebook and make a note. However, do not make any commitments to change anything until you have had a chance to investigate the matter thoroughly. Indicate that you will look into the matter, and then do it! These are test questions; your people are trying to feel you out. Don’t fail to respond; answer them personally. Your people will see that you are serious about keeping communication open and sincere. This builds rapport, trust, and respect between you and your subordinates—critical elements in a successful command relationship; nurture them!

### **Set the Example**

*Let your actions  
and appearance  
be examples*

This may be the toughest part of being a leader. Look at yourself honestly and ask, “Am I the best I can be?” If you are not, work on improving your shortcomings, doing whatever it takes to overcome them. You may find yourself challenging some ways of doing things you are very comfortable with—ways that are difficult to give up. Nevertheless, you must recognize what your own inadequacies really are. Don’t be embarrassed to seek help. Nobody, including your new boss, expects you to be perfect and not make mistakes. *You will!* Instead, learn from your mistakes and those you observe others making, and try not to repeat them. You cannot demand the best from everyone else in your unit if you don’t give your best. Remember, as a commander, you are always in the fishbowl—on display, watched, and emulated—for better or worse. You should never preach one thing and do another. Without saying a word, your actions communicate your attitudes about dress, personal appearance, promptness, alcohol consumption, courtesy, physical fitness, and concern for your people. Better an ounce of forethought about your actions than trying to regain the respect of your people after losing it—difficult, if not impossible!

### **Advice to Commanders**

*Develop your  
own style*

All right, you say, I understand what is expected of me. Now, how do I do it all? The answer is, “There are no magic formulas.” Leadership is individual and personal. As a commander, you must develop your own style—hence, the advice to “be yourself” offered earlier. You can benefit from the experiences of others. In 1976, while combatant commander of Pacific Air Forces, Gen Louis L. Wilson Jr. wrote a work called “Advice to Commanders. . . . 10 Points.” Although the advice is old in a chronological sense, its spirit and wisdom remain fresh.

*10 points  
for commanders*

1. **BE TOUGH.** Set your standards high and insist that your people measure up. Have the courage to correct, and, if necessary, chastise those who fail to do so. Discipline those who won't conform. In the long run your people will be happier. Almost certainly morale will be higher, your outfit better, and your people prouder. Good outfits have tough commanders—not arbitrary or unfair or cruel—just tough.
2. **GET OUT FROM BEHIND YOUR DESK.** See for yourself what's going on in your unit. Your place of business is where the action is. Leave your footprints all over the place. Your subordinates will see that you're interested in their problems, working conditions, and welfare. Many of your people problems will go away if you practice this point.
3. **SEARCH OUT THE PROBLEMS.** They are there. If you think there are no problems in your organization, you are ignorant. Again, they are there—the trick is finding them. Foster an environment that encourages people to bring problems to you. If you shun problems, you are not fit to command.
4. **FIND THE CRITICAL PATH TO SUCCESS.** Get personally involved on a priority basis. Let your influence be felt on the make-or-break issues in your organization. Avoid the “activity trap”; don't spend your valuable time on inconsequential or trivial matters. Weigh in where it counts. Be the master of your fate—don't leave it to chance.
5. **BE SENSITIVE.** Listen to your people. Communicate. Be perceptive. Recognize that communication is shared perceptions. Empathize. Learn to recognize problems. Seek ideas. Be innovative. Listen, listen, listen!
6. **DON'T TAKE THINGS FOR GRANTED.** Don't assume wrong things have been fixed—look for yourself. Neither assume they will stay fixed. The probability is high that “fixed” problems will recur. Recheck the fix.
7. **DON'T ALIBI.** Just fix it. Remember, you and your outfit can never be perfect. People will make mistakes. Don't be defensive about things that are wrong. Nothing is more disgusting than the individual who can do no wrong and has an alibi for any and everything that goes awry.
8. **DON'T PROCRASTINATE.** Don't put off those hard decisions because you're not willing to make them today. It won't be easier tomorrow. This doesn't mean to make precipitous or unreasoned decisions just to be prompt. But once you've arrived at what you believe is correct, get on with it. Don't stymie progress.
9. **DON'T TOLERATE INCOMPETENCE.** Once people have demonstrated laziness, disinterest, or inability to get the job done, you must have the courage to terminate their assignments. You cannot afford to do less. On the other

hand, when your people are doing good work, recognize it and encourage them. Certainly, they will do even better.

10. BE HONEST. Don't quibble. Tell it like it is. Insist that your people do likewise. They set their patterns based upon your example. Absolutely nothing can be more disastrous than garbled information, half-truths, and falsifications. Make sure your people know where you stand on this matter. Encourage them to come to you if they have doubts about veracity in the outfit. You must create an atmosphere of trust and confidence. And, be honest with yourself—don't gimmick reports and figures or use cunning ways just to make things look good. If you do, you are a loser before you start.<sup>4</sup>

Your task is to lead. This requires hard work, enthusiasm for the mission, and sensitivity to what is going on around you. You must set your standards high, be involved, listen, know what the problems are, remove the weak, and promote the strong. To do this well, you must be tough. Remember that honesty and integrity are basic to all of it. Don't risk success—practice these 10 points; not doing so risks failure. Here is some advice that will help you avoid a few other mistakes that new commanders are often prone to make due to inexperience:

- Do not pretend to know everything. If you think you know all the answers—you simply haven't heard (or asked) all the questions yet.
- Do not make new policy statements arbitrarily to assert your authority. Do not do anything arbitrarily; think about how your people will perceive the new policy.
- Do not alienate everyone with such statements as "I'm going to make this a first-class outfit." It might already be.
- Do not make snap decisions. Ask your staff for their advice and involve them in the decision-making process whenever possible. This is an especially useful technique for dealing with disciplinary problems; have the supervisor recommend what to do about a troublesome airman. In any case, if you really involve your people and listen to them, it's almost guaranteed that you will learn more from them than they will learn from you.
- Use all available talent to help you. Recognize expertise where you find it. The "expert" at fixing some specific problem may be the lowest ranking airman in the unit. Remember, you cannot possibly accomplish the mission alone!

## **Air Force Standards**

*Know and enforce  
Air Force standards*

Air Force standards of conduct, discipline, and customs and courtesies reflect our broad heritage and traditions. As leaders and trainers of tomorrow's Air Force, you must know and enforce Air Force

standards. Current Department of Defense (DOD) and Air Force policy provides specific guidance. A discussion of key issues follows.

### **Mission**

The mission of the United States Air Force (USAF) is to defend the United States and protect its interests through air and space power. If conflict occurs, the Air Force will respond with actions as directed by the president and secretary of defense. The mission requires disciplined, dedicated, and educated people who live and work by the highest personal and professional standards.

### **Oath**

Upon entering the Air Force, each member voluntarily takes an oath. With continued service or reenlistment, we reaffirm our belief and commitment to that oath. We promise to protect and defend American freedoms, to obey orders of superiors, and to live by a military set of rules and standards.

### **A Way of Life**

As a member of the Air Force, you are subject to duty 24 hours a day, including weekends and holidays. If so directed by competent authority, you must report for duty at any hour, at any location, and remain as long as necessary to get the job done. Our mission necessitates more restrictive rules and standards than are normally found in civilian life. Individuals who cannot live up to these high standards will not be retained in the Air Force.

### **Customs and Courtesies**

Our customs and courtesies are proven traditions—some written and some unwritten—explaining what should and should not be done. They are acts of respect and courtesy in relationships with other people. Customs and courtesies have evolved into mutual respect and a sense of fraternity among military personnel today.

### **Respect for the Flag**

The flag of the United States represents the principles and ideals you have pledged to defend; it is treated with the same respect due the highest public official. When stationed in a foreign country, you must show the same respect to the host country's flag and national anthem that you show to your own.

### **Chain of Command**

The chain of command provides the control and communication necessary to accomplish the mission. Each level in the chain is responsible for a lower level and accountable to all higher levels. The chain cannot work without loyalty to every level. With loyalty up and down the chain, it is a highly efficient and effective system

for getting things done. The key principle is to resolve problems and seek answers at the lowest possible level.

### **Conduct**

The Air Force has a very important mission, and each member has serious responsibilities for carrying out that mission. You are responsible for carrying out orders, performing specific daily tasks related to duties, and living up to the high standards of the Air Force. As a commander, you have the responsibility to make sure your subordinates meet the same standards. Standards of conduct apply both on and off duty, in personal behavior, and in treatment of others—in both military and civilian environments.

### **Professional Relationships**

Professional relationships are essential to the effective operation of the Air Force. In all supervisory situations, there must be a true professional relationship supportive of the mission and operational effectiveness of the Air Force. Officers and NCOs must make sure their personal relationships with members for whom they exercise a supervisory responsibility, or whose duties or assignments they are in a position to influence, do not give the appearance of favoritism, preferential treatment, or impropriety. Excessive socialization and undue familiarity, real or perceived, degrade leadership and interfere with command authority and mission effectiveness. It is very important that the conduct of commanders, both on and off duty, reflect professionalism.

### **Military Ethics**

You must practice the highest standards of behavior, obedience, and loyalty—not only in your job, but also in your relationship with other people and the civilian community. Your code of ethics must be such that your behavior and motives do not create even the appearance of impropriety. Your commitment to integrity will lead the way for others to follow.

### **Drug Abuse**

Drug abuse is the illegal or improper use of drugs, including marijuana or ecstasy. It is incompatible with Air Force standards of behavior, performance, and discipline necessary for accomplishing the mission and will not be tolerated.

### **Alcohol Abuse**

Members have the responsibility to exercise good judgment in the use of alcohol. Alcohol consumption must not adversely affect duty performance or conduct on or off duty. Driving while intoxicated will not be tolerated. Violators are subject to apprehension and punishment under the *Uniform Code of Military Justice (UCMJ)*.

## **Equal Opportunity and Treatment**

Air Force standards of conduct require that each member be treated with respect and dignity regardless of race, color, religion, age, national origin, or sex.

## **Financial Responsibility**

Members will pay debts on time. Failure to satisfy just financial obligations is not consistent with the standards of conduct expected of Air Force members.

## **Public Statements**

Air Force Instruction (AFI) 35-101, *Public Affairs Policies and Procedures*, 1 December 1999, governs public statements on official Air Force matters. The objective is to avoid statements that do not reflect Air Force policy or that, if taken out of context, could be misleading to the public. For questions concerning limitations and responsibilities, refer to the public affairs office.

## **Geographically Separated Units**

*Promote esprit de  
corps*

If you are assuming command of a geographically separated unit (GSU), you face some unique challenges and responsibilities. You will inevitably become more involved in all aspects of the lives of your personnel than if your unit were located on a main operating base. This is due to the physical and functional isolation of your unit from the rest of the Air Force community. You can and should use this isolation to your advantage to promote unit cohesiveness and esprit de corps.

*Ensure that your  
unit receives support  
agency*

You may find that your unit receives needed support such as housing or medical services and logistics from another service and/or civilian agency. If so, you need to learn new policies and procedures for obtaining the required support. You may be required to explain and interpret those policies and procedures to Air Force agencies, sometimes to resolve disputes.

*Check regulations  
for your  
responsibilities*

You and your unit may be required to accomplish certain functions, especially administrative tasks ordinarily performed by another function on a main base. An increasing number of AFIs dictate special responsibilities, policies, and procedures for GSU commanders; follow applicable Air Force guidance.

*You represent  
the USAF*

It is essential to remember that as a GSU commander, you always represent the USAF. On a main base it is entirely possible as a commander to have very little or no contact with civilians or representatives of other services; this is not true as a GSU commander. Many GSUs are located in foreign countries, which means that GSU commanders are constantly interacting with citizens of those countries and with representatives of foreign governments and military services. Thus, a GSU commander may



act as a de facto diplomat; this is also true, of course, for senior officers serving as wing and base commanders in foreign countries. In such circumstances, you represent not only the Air Force but the United States of America as well.

Most important and challenging to a GSU commander is the fact that you personify the Air Force to officers, airmen, and civilians. This is especially important in the case of your younger members, many of whom are serving their first tour of field duty. Their perceptions of the Air Force and their desire to remain beyond their first term of enlistment are directly affected by everything you say and do. You are never “off duty.”

### **Commander's Checklist**

The following list is taken from the ideas of many successful commanders, including those found in Col Timothy Timmons's book *Commanding an Air Force Squadron*, and Maj Gen Perry Smith's work *Taking Charge*. It should prove helpful as a checklist as you begin your new assignment.

- Educate yourself about your squadron and its mission. Study the unit's mission, the wing's mission, and how they fit together. Remember, the mission is critical. If you cannot get it done, you're gone!
- Ask for all available information about the unit. Expect and demand briefings on all major issues.
- Discuss the personalities within the unit with the departing commander to get the following:
  - A frank evaluation of existing personnel problems
  - A candid analysis of who can or cannot be counted on
- Have a transition plan. If your unit already has one, incorporate its best points into yours. Adapt it to your leadership style.
- Identify issues on which you need further information—that is, budget status, squadron morale, last inspection results, quality initiatives, safety records, and so forth.
- If possible, meet with your new boss before assuming command to learn the following:
  - Find out what your unit can do to best support your boss and the wing.
  - Ask what is required of a unit commander's spouse, and tell your spouse what you learn about those requirements!
- Meet with wing primary staff officers and ask for candid opinions of the strengths and weaknesses of your unit.
- Meet with the wing deputy commander and other unit commanders. Don't be too proud to ask for advice and counsel, and don't “reinvent the wheel”!

- Make a clean break from the old assignment; close out all the paperwork. You won't have time to take care of old business in your new assignment.
- Meet with base support staff. Find out what they can do for you and what you can do to make their jobs easier.
- Strictly enforce all Air Force standards of customs and courtesies.
- If your assignment requires special schooling, do it as soon as possible. Time is your most precious asset when you're in charge.<sup>5</sup>

## **A Final Word**

The purpose of this section was to provide insight into the responsibilities of command and to start you thinking about the many programs that affect your unit and its people. While mission accomplishment remains the paramount objective, realize that your people accomplish the mission. People are your best and most expensive resource. A good resource manager tries to optimize the use of assigned resources. You cannot just "manage" people and achieve optimal results—you have to "lead" them, inspiring and motivating them to achieve results beyond even what you both believe are possible.

We believe the Air Force has many good managers who have been trained in management techniques. However, as commander, as in no other job, you must be a LEADER. The following chapters should help you.

### **Notes**

1. Gen John Michael Loh, "What It Takes to Be a Commander," *Air Force Times*, 17 October 1994, 4.
2. Lt Col Michael B. Perini, "A Conversation with Gen John Michael Loh, Commander, Tactical Air Command," *Airman Magazine*, April 1991, 9.
3. Col Timothy T. Timmons, *Commanding an Air Force Squadron* (Maxwell Air Force Base, Ala.: Air University Press, December 1993), 13.
4. Gen Louis L. Wilson Jr., combatant commander, Pacific Air Forces, "Advice to Commanders. . . 10 Points," Air Force Reserve Officer Training Corps Letters, 18 March 1976.
5. Timmons; and Maj Gen Perry M. Smith, *Taking Charge: A Practical Guide for Leaders* (Washington, D.C.: Government Printing Office, 1986).



## CHAPTER 2

# Leadership in the New Millennium

*With me as leader, ye men, control your anxieties;  
under my guidance, let ship and crew run  
straight.*

—Ovid

This chapter introduces aspects of leadership particularly applicable to commanders. It uses recent literature on leadership as well as a survey of commanders and includes information that will help you assume command. This chapter complements information in chapter 1, and the two should be read together.

## Leadership versus Management

*Leaders are people who do the right thing. Managers are people who  
do things right.*

—Warren G. Bennis

*Differences  
between leaders  
and managers*

Discussion of leadership in today's Air Force must include the controversial and often emotional issue of whether commanders should be leaders or managers. Some observers insist that military success depends on management, while others insist that charismatic leadership is the key. We will examine both concepts in terms of the following three elements: behavior, personal characteristics, and organizational situation, and illustrate that successful commanders must combine both roles.

### Behavior

Managerial behavior involves building organizational relations that mesh like parts of a timepiece, while leadership behavior concentrates on making the hands of the timepiece move to display the time. The behavioral focus of each is important, with the manager concentrating on the precision of the process and the leader concentrating on the inertial forces that drive the process. Professor and researcher Warren Bennis has devoted years to studying

leadership and summarizes the two behaviors as follows: “Management is getting people to do what needs to be done, while leadership is getting people to *want* to do what needs to be done” (emphasis added).<sup>1</sup>

The words of Field Marshal Sir William Slim, British Fourteenth Army leader during the reconquest of Burma in World War II, are worthy of note: “Leadership is of the spirit, compounded of personality and vision. Management is of the mind, more a matter of accurate calculation, statistics, methods, timetables, and routines.”<sup>2</sup>

Effective leaders are “*dynamic*,” a term that denotes movement and change. The function of leadership is to produce change and set the direction of change. Management uses the function of planning to produce orderly results, not change.

Managers use the management process to control and push people in the correct direction. Leaders motivate and inspire people by satisfying their human needs while moving in the proper direction to achieve a vision. Leaders accomplish this by tailoring their behavior towards their followers’ needs for achievement, sense of belonging, recognition, self-esteem, and control over their lives. Bennis offers an appropriate summary of this behavioral comparison (table 1).<sup>3</sup>

**Table 1**

**Managers and Leaders: Behavioral Comparison**

<i>The Manager</i>	<i>The Leader</i>
Administers	Motivates
Maintains	Develops
Controls	Inspires

**Personal Characteristics**

Research by Indiana University professor Robert White illustrates an interesting comparison of successful leaders and managers (table 2). Having been exposed to both types of characteristics, you know from experience that neither is exclusively positive or negative, depending on the prevalence of the characteristics. The Air Command and Staff College survey of commanders supports what table 2 suggests. Commanders must have a grasp of management and leadership skills that “cannot, should not be separated”; “leadership is an art that includes management.”<sup>4</sup>

The best managers become good leaders by developing leadership abilities and skills through practicing good management techniques.

**Table 2**

**Managers and Leaders: A Comparison**

<i>Managers</i>	<i>Leaders</i>
problem solvers	analysts of purposes and causes
statistics driven	values driven
seek conflict avoidance	not only accept but invite conflict
thrive on predictability	ambiguous
ensure that organizational objectives are achieved even if they disagree with them	ensure that their objectives and those of the organization become one in the same

Seldom is there an effective leader who has not been a good manager. Managers who become successful leaders have humanized their management skills with inspiration, empowerment, and vision through a catalyst called charisma.

**Organizational Situation**

What organizational implications do the two concepts of management and leadership pose? Leaders launch and steer their organizations toward goals and strategies. Managers ensure resources are available and used along the way. Organizations need both leaders and managers whether combined in one person or spread out among several key people.

To achieve a plan, managers organize and staff jobs with qualified individuals and then communicate the plan, delegate responsibility for carrying out the plan, and devise systems to monitor its implementation. What commanders must do is align (leadership activity), not organize people. Commanders must communicate the new direction and create coalitions inside and outside of the organization to achieve the plan.

What is the relative importance of effective leadership and management? Strong leadership with weak management is no better, and sometimes actually worse, than the opposite. Commanders face the challenge of achieving a balance between strong

*Relative importance  
of management and  
leadership*

leadership and management. With good leadership concentrated at the top, a peacetime military can survive as long as good administration and management exist up and down the organization's hierarchy. On the other hand, a wartime force must have competent leadership at all levels. Good management brings order and consistency to key issues such as readiness, availability, and sustainment. To date, no one has figured out how to manage people into battle. People *must* be led!

## **Qualities of Leadership**

*When you succeed, give all the credit to others; when you fail, take all the blame yourself.*

—Gen Dwight D. Eisenhower

Some argue that leadership cannot be reduced to a series of personal attributes or a set of roles and activities. Yet, survey responses and current literature lead to some observations worthy of discussion.

*Categories of  
leadership qualities*

Many leadership qualities fall into one of four distinct categories—attitude, values, character, and credibility.

### **Attitude**

Commanders surveyed indicated that enthusiasm, devotion, and encouragement are the most significant attitudinal qualities.<sup>5</sup> Enthusiasm is contagious and delivers energy to all aspects of operations. Devotion is a desire to lead and achieve a vision. Leaders wear their attitude on their sleeve, and their subordinates will reflect this same attitude. Encouragement is usually an action but relates to attitude. The inclination to encourage the hearts of subordinates and oneself is a powerful motivator and satisfier of human needs. Effective commanders embrace positive goals, display a positive attitude, and refrain from dwelling on errors.

### **Values**

Related qualities evidenced in the commander's survey were trust, loyalty, integrity, and honesty. The degree to which these qualities exist in the organization's leadership directly relate to the organization's effectiveness and the values of its members.

Leadership is the capacity to generate and sustain trust whose main determinant is reliability. Insignificant indicators of reliability—punctual attendance at meetings and prompt attention to correspondence—translate into trust in other matters, including life-threatening situations. Regrettably, the balance for trust is the willingness to remove people you do not trust and make tough decisions when necessary. Subordinates will reward trust in leadership with trustworthiness and loyalty. Like trust, loyalty is a

two-way street; leaders cannot demand unswerving follower loyalty without returning the trust.

Commanders surveyed emphasized the importance of integrity—a consistent and honest demonstration of personal commitment to the organization and its vision. Leaders must demonstrate their integrity. Consistency and fairness in exercising punishments and rewards are good examples and are two of the most valued assets of leaders.

## **Character**

Leadership is a combination of competence and character. Many leaders fail not because of incompetence but because of character. Paul Fussell captured the essence of character in interpersonal relations in his writings about the landings at Normandy during World War II:

But what if the leader, government-appointed or self-appointed, shouts, “Follow me!” and no one does? When do men sometimes follow him, and shout enthusiastically, too? Something called “character” must be apparent in the leader. The followers must like him and want to be like him—or want him to like them. When it’s all over, they want him—private, sergeant, lieutenant, or even General Eisenhower—to clap them on the shoulder and say he’s proud of them.<sup>6</sup>

While compassion, courage, and understanding were the character traits most emphasized in the survey of commanders others included charisma, compassion, courage, a sense of humor, and optimism.

*Charisma* is a biblical term meaning “gift of grace,” a special endowment of the Holy Spirit to certain individuals to be leaders. Charismatic leaders were raised up to save the people of Israel during times of peril. Charisma can be effective but is not the panacea for leadership. German sociologist Max Weber found that charisma is often contrary to authority and is consequently frowned on by superiors. Once it becomes “old hat” to subordinates, charismatic leaders’ attraction and powers wane.

Compassion along with understanding is extremely important. The human psyche bruises easily, and many subordinates will withhold their feelings, often to the point of distress. The common soldier on the beaches of Normandy regarded General Eisenhower as a leader who treated soldiers like people with feelings, not as malefactors with something to hide. The modern sailor, soldier, or airman deserves no less.

Courage takes many forms. Leaders must demonstrate courage in combat and high-risk situations; they must also have the moral courage to be sincere and honest. Commanders need courage to be truthful about their unit’s health, needs, and goals. They must have the courage to give honest feedback to subordinates, to welcome new ideas, and to act and do the right thing. Commanders’ courage

breeds courage amongst their followers and helps to maintain the followers' composure in stressful situations and hardships.

Humor and optimism are also valuable leadership traits. George Burns gave a tremendous example of both on his 99th birthday when he said, "I can't die. I'm booked." While humor and optimism are valuable, sarcasm is not. Whether it is the sarcastic remark about someone or about the way things are done, the comment is rarely taken the intended way. Stick to George Burns's humor.

### **Credibility**

Credible leaders possess the humility, commitment, and ability to enhance their organization by drawing out the unique strengths of each member. They must also be willing to get their hands dirty from time to time. Only by being at the front will the leader be able to feel the pace and progress as well as the problems.

*Leading by  
example*

Leaders lead by example; they pay attention to what is important, and their behavior demonstrates that they live their values. Tom Peters summarizes the point when he says, "The only magic is brute consistence, persistence, and attention to detail."<sup>7</sup>

*Leading coolly  
and calmly*

A cool, calm leader in a difficult situation or circumstance reinforces credibility with subordinates. Kenneth Thompson refers to this phenomenon as "leader as antileader; a characteristic of the leader that conceals or downplays the fact that he is leading."<sup>8</sup> As president, Dwight Eisenhower subscribed to the theory of using a "hidden hand" of leadership. He led but concealed his leadership from those who tried to interpret it.

*Taking  
responsibility*

A crucial element of credibility is accountability—take responsibility for your actions and for your subordinates. One of the best examples was set by Gen Robert E. Lee, who, after the failure of Pickett's Charge at Gettysburg, said, "All this has been my fault. It is I who have lost this fight, and you must help me out of it the best way you can."<sup>9</sup>

Credibility is extremely fragile. It takes years to earn it through persistent, consistent, and patient leadership. Yet, it can be lost with one thoughtless remark, act, or broken agreement. In the present era, in which jointness is reality and defense dollars are shrinking, leaders must have credibility. Thomas E. Cronin stated that, "today's leaders must widen their perspectives and lengthen the focus point of their thinking. . . . They have to . . . move from analytical to integrative thinking and rise above their specialties and professions. They must not be afraid of politics, [but] rather, [they must] view politics as the art of bringing about the difficult and the desirable."<sup>10</sup>

Traditional training roles should not limit today's leaders, who must remain flexible, look for opportunities to learn, and know themselves. They must balance personal needs with those of the organization.



## Vision

*I say to you today, my friends, that in spite of the difficulties and frustrations of the moment I still have a dream. It is a dream deeply rooted in the American dream.*

—Dr. Martin Luther King Jr.

Commanders must have vision that empowers, inspires, and challenges. This same vision must motivate followers to commitment and performance. It is crucial that commanders understand what vision is and what it is not.

### What Is Vision?

#### *Definition of vision*

Vision is the rudder that keeps a ship on course. All decisions return to the basic vision. Does X, Y, or Z support the commander's vision? Is A, B, or C in line with this vision? Vision is very broad and helps people believe they can accomplish their goals while moving towards a better future through their own efforts. Vision also conveys inspiration. Two examples of this are Franklin D. Roosevelt's announcement in May 1940 that he had set a production goal of 50,000 planes a year and John F. Kennedy's challenge to the United States to put a man on the Moon and then return him safely to Earth within the decade. At the time, both goals were breathtaking, yet they were achieved. No one can doubt that the dramatic announcements and the infectious inspiration they bred led to the achievement of each goal.

The human brain has the ability to form and translate mental images of the future into reality through leadership and action. Leaders constantly anticipate influences, trends, and demands that affect vision over the next month, year, or decade. A shortcoming of leadership is preoccupation with the present at the expense of the future. Effective commanders will direct and then delegate current operations while remaining aware of the details. This ensures time to focus on long-term issues, operations, and unit direction.

Leaders with vision see the future without being farsighted and remain rooted in the present without being nearsighted. Tom Peters stated in *Thriving on Chaos* that "effective visions prepare for the future. . . . Look to your prior experiences. . . . Look to the future and clarify the vision over time."<sup>11</sup>

#### *What vision must be*

Vision must be logical, deductive, plausible, simple, and understandable in order to have realistic value. It must be specific, providing real guidance to people, yet vague enough to encourage initiative and remain relevant to a variety of conditions. Organizations whose leaders have no vision are doomed to follow tradition. They cannot prosper because they keep doing things as they always have. In the words of Prof. Peter Kreeft of Boston College, "To be a leader you have to lead people to a goal worth having—something that's really good and really there. That is vision."<sup>12</sup>

## **How to Implement the Vision**

Senior leadership has the authority and responsibility to change the system as a whole. But leaders at all levels can direct the attention of both superiors and subordinates to tasks more appropriate to the challenges of the new age. Commanders must consider the visions of the Air Force, the wing, and the group, including their own unit's vision within these visions. Commanders must envision where their unit will be when their tenure ends, where they want it to be, and what they see as their legacy after their departure. Personnel of all ranks and occupations have excellent ideas for developing and implementing visions that dovetail into the Air Force's vision. By soliciting suggestions and promoting participation, commanders prepare their organizations for change while disarming those who would resist change. In addition, experience their people gain will prove invaluable as they progress into more responsible, high-level leadership positions and continue the vision.

Finally, leaders must communicate their vision to the people in the unit. Leaders are responsible for bolstering their subordinates' courage and understanding. Launching a vision is not a solo effort. Burt Nanus drew a colorful parallel in his article "Visionary Leadership": "If you isolate yourself and hope to present your vision to the organization like Moses descending from Mount Sinai, [then] you are simply asking for skepticism and resistance."<sup>13</sup>

## **The Downside**

Even a clearly articulated and achievable vision may flounder if appropriate resource management and effective leadership do not accompany it. Another possible consequence is that vision can become an obsession and adversely affect the leader's and follower's judgment. Crucial to the vision is not its originality but how well it serves mission requirements, unit goals, and parent and subordinate organizations.

A frequent mistake that organizations make is embracing long-term planning in place of a conceptual vision. Such an approach results in counterproductivity or "wheel spinning." This does not mean that planning is not important; in fact, the very exercise of forward thinking and application of military planning principles encourages creativity and innovation throughout the organization. The motto of Canada's joint planning staff serves as an appropriate reminder: "Plans are useless, planning is vital."<sup>14</sup>

## **Maintain the Vision**

Leaders must instill a vision that is enduring and invites total organizational commitment. Although a vision may be appropriate at the time of its implementation, eventually it will need amending in order to maintain currency.

There is no regular schedule for vision revision. If the current vision is working and consistent with development in the internal and external environments, affirm it and support it. However, a wise leader does not wait for the alert before thinking of alternatives. The vision-forming process should be continuous.

## **Empowerment**



*Lousy leaders keep every decision under themselves.*

—Gen H. Norman Schwarzkopf

*Never tell people how to do things. Tell them what to do and they will surprise you with their ingenuity.*

—Gen George C. Patton

The military is an authoritarian organization. The necessity for rapid decision making and response in times of crisis requires a traditional hierarchical framework. Gen H. Norman Schwarzkopf said of this traditional role, “No orders can be issued by anyone but him or her, the mighty leader, keeping things centralized, which stifles initiative.”<sup>15</sup>

### *Essence of empowerment*

Asking fewer people to do more with less has driven this traditional view into obsolescence. The transformation of leader-follower roles is heralding a pursuit of goals that allows leaders and followers to identify themselves with their respective share of the organization. This is the essence of empowerment.

Effective empowerment is not new. Great leaders have never told people how to do their jobs. Instead, they presented the need, established the playing field, and then allowed their people to achieve their own success. The success of the follower is a success for the leader and organization.

The responsibility for a task is on the leaders' shoulders, but all share in getting the job done. The adage “It's lonely at the top” is indicative of leaders who do not recognize the strengths of their resources. Subordinates supply the details, missing steps, and concerns in the leaders' visionary goals; all of these contribute to mission accomplishment. When leaders solicit input, they discover the knowledge, interest, and parameters of support they can expect from others. As Tom Peters said, “You want innovation? Just ask for it.”<sup>16</sup>

*Definition of  
empowerment*

Empowerment involves assigning tasks to employees and allowing freedom for creativity; it also means granting employees authority to make decisions and then to act upon them. Some interpret empowerment to be delegation of authority. However, delegation is not empowerment, but empowerment does require effective delegation.

Empowerment is often confused with participative management, which emphasizes being sensitive to needs, involving people, asking for help, and scheduling many meetings. Participative management has met with mixed success in the corporate world and does not easily align itself to the military ethos. Empowerment, on the other hand, is a force that energizes people. It means responsibility, ownership, and control over your work.

Empowerment includes being a stakeholder in an organization's vision. Having committed to the vision, members begin to participate in shaping and fashioning it to reflect their own personal visions. A shared vision incites people to focus on the future and what it holds—not simply because they must but because they want to. Leaders must be open minded to ideas and suggestions that could improve or refine the vision.

Empowerment does not detract from authority and has proven successful when applied to hierarchical organizations. Authority is used not to impose policies and demand followership, but to transform subordinates into responsible participants through learning and development.

### **Guidelines to Empowerment**

Empowerment will enhance organizational performance by promoting contributions from all members. Trust provides the keystone of symbiotic relationships in which leaders and followers are dependent on each other for survival.

*Leaders' roles*

Leaders must be flexible and patient in introducing empowerment. The level of empowerment should be appropriate for the experience level, individual maturity, and degree to which the leader-subordinate relationship has developed. By delegating decisions to those closest to the issues and allowing subordinates considerable flexibility in implementing the vision, visionary leaders allow others to take ownership of the vision. This allows subordinates to take ownership and pride in achieving the vision. Leaders must maintain a firm grip on operational requirements and the strategic plan. It must be clear who is steering the ship and where it is going. Empowered subordinates must understand the limits of their power and keep the commander informed. Empowered followers need education to learn how to do the right thing and to recognize what the right thing is. Education is necessary for them to realize their potential in fulfilling the vision. Subordinates who have knowledge in a particular field should be encouraged to use that knowledge, improving the vision related to their specialty. No two

individuals—certainly not the leader or the subordinate—bring the same values to the analysis of a problem. The trick is to bring disparate value systems into a blend that allows the entire organization to enjoy the success.

An important facet of empowerment is recognition and reward for the subordinates' contribution to mission success. General Eisenhower commented, "There's no telling how much one can accomplish so long as one doesn't need to get all the credit for it."<sup>17</sup>

### **Potential Pitfalls**

Empowerment is often associated with laissez-faire leadership—that is, the tendency to abdicate responsibility to subordinates who are then left to their own devices. Such fire-and-forget delegation indicates an absence of leadership. Empowerment is a leader-subordinate relationship that requires more refined supervisory skills than traditional autocracy. People require direction, knowledge, resources, and support.

The "Lady of the Lake" does not bestow empowerment as a blessing. Leaders must avoid the tendency to be overly idealistic. A vision should represent a worthwhile challenge. The vision loses force if people see it as too ambitious, unrealistic, or even worse, self-serving. Commanders must solicit feedback on a visionary idea before applying it to an organization. Commanders cannot impose empowerment and vision. To do so would be an autocratic exercise resulting in compliance rather than commitment.

Many leaders mistakenly seek consensus as a means to empower. Consensus is a determination of what the group wants, and what the group wants is assumed good. However, history tells us that it is usually safe and free from innovative ideas. Furthermore, consensus can divert an organization from its true goal or vision. The adage that "a camel is a horse built by committee" is not so far-fetched. Leaders do not seek consensus and then build it. Consensus is not empowerment.

## **Learning**

*People must be given the latitude to learn.*

—Gen H. Norman Schwarzkopf

*Leaders'  
responsibilities*

Training and education are constant processes in the military. Effective leaders must be master students and master teachers, accepting and utilizing the responsibilities and powers of both. Training is the process used to teach organizational vision and values at the supervisory and subordinate levels. Training is fundamental in focusing an organization's strategic vision and developing capabilities that will make it possible.

Formal and informal training will do more than augment the level of technical expertise in a unit. The hidden benefit is the energy and stimulation generated by planting good ideas into the minds of members at all levels.

### **Encourage Learning**

*How leaders can  
foster growth*

Leaders foster growth by ensuring that their people focus on the aspects of a situation, mission, or project they control. This is not to say that tasks should be limited in scope or challenge. Some adventure should be an integral part of every job. For people to learn and excel, they must be intrinsically motivated. Bennis believes that “routine work drives out all non-routine work . . . [and] smothers to death all creative planning.”<sup>18</sup> Leaders should provide challenging and enlightening experiences to their people. This is the only way subordinates learn from experiences.

*Advice for leaders  
and commanders*

Leaders may want to tell followers what is necessary to improve their job performance. While the leaders’ knowledge may impress the followers, it also creates a dependency within the followers and limits the value of their experience. Instead, leaders should encourage new ideas and help the followers independently determine an appropriate solution. Leaders must identify and analyze success in order to make the causes and behaviors permanent and pervasive as opposed to temporary and specific. Leaders must encourage learning by formally recognizing individual and unit successes, regardless of how large or small. Tom Peters suggests that every leader establish a unit “hall of fame” and insist that it be full.<sup>19</sup>

Setting standards is a formal and direct way for commanders to encourage subordinates to learn. Standards have the multiple effects of establishing goals, providing feedback on performance, and ensuring quality control. They are the inspiration for developing employees and motivating them to perform at optimum levels. General Schwarzkopf believes that people want to know what is expected of them. No one goes to work and says, “I am going to do a lousy job today.” People work to succeed, and they must know how you measure success. Leaders should allow for some mistakes and give their people the latitude to learn.<sup>20</sup>

John W. Gardner, former secretary of Health, Education, and Welfare and a graduate professor in business, asserts that the pursuit of excellence depends on “high expectations, then, of all our young people. That means standards. That means a respect for excellence.”<sup>21</sup> Leaders measure success by their standards. Leaders ensure that the goals and standards they set are of high integrity, clear, simple, and understood by all.

### **Development of Subordinates**

*Commanders’ roles*

The commanders survey identified the following roles of commanders in the development of subordinates:

- Training replacements (the next generation)
- Developing an understanding of roles and responsibilities
- Being an advisor and mentor, both professionally and personally
- Clarifying expectations
- Providing opportunity for professional growth and promotion
- Strengthening service identity
- Allowing subordinates to make decisions and experience leadership
- Encouraging and facilitating formal education<sup>22</sup>

*The most  
important milestone*

The most important milestone in the development process is having a significant challenge early in a career. Effective leaders have had opportunities during their twenties and thirties to actually lead, take risks, and learn from both triumphs and failures. Developing people for important leadership positions requires more work from commanders over a period of time. The work begins with identifying people with leadership potential early in their careers and determining the appropriate challenges for developing them. In *Taking Charge*, Gen Perry Smith recommends identifying the best employees and helping them get their next higher jobs within the unit or upon assignment and then monitoring their careers to help them achieve their full potential.<sup>23</sup>

*Finding  
and developing  
young leaders*

In business, successful corporations cannot wait for leaders to come along. They actively seek people with leadership potential, exposing them to career experiences designed to develop those potentials. It is prudent to offer caution against becoming preoccupied with finding and developing young leadership potential. Units rely heavily on well-rounded experience levels, but seasoned members have their place in the unit. Overemphasis on youth for career-developing experiences may result in the perceived feeling of unfair treatment among unit veterans. Guard against overlooking the “late bloomer.” The fact that someone’s career potential was not evident early does not mean potential is nonexistent. The late bloomer’s combination of maturity, experience, and untapped potential is a valuable asset. In sum, treat each person as an individual, challenging him or her with leadership roles that are commensurate with that person’s readiness. A leader can avoid having “A teams” and “B teams” by challenging everyone. Although the challenges may certainly differ, no one will feel left out. Similarly, while it is important to identify the “fast burners,” be sure these individuals don’t miss key leadership experiences due to placement in jobs they may be unprepared to handle or because they have become key players and you don’t want to move them. For example, if a captain is never a flight commander, how can he or she effectively mentor flight commanders in the future? Challenge each individual, and all will benefit; the sharpest will rise to the top.

## **Mentoring**

“Mentoring is a fundamental responsibility of all Air Force supervisors. Commanders and supervisors must know their people, accept personal responsibility for them, and be accountable for their professional development. Air Force mentoring covers a wide range of areas. Among them are career guidance, professional development, history and heritage, and knowledge of air and space power. It also includes knowledge of the ethos of our profession and understanding the Air Force’s core values of integrity, service, and excellence.”<sup>24</sup>

Mentoring through formal methods such as feedback sessions or informally through daily contact is but one of a commander’s valuable tools. Personnel want to learn and improve. Commanders set the tone for the entire squadron with a solid mentorship program. Subordinate leaders will follow your lead and mentor to their subordinates, producing professional airmen who are capable of performing the Air Force mission today and in the future. The use of Air Force Instruction (AFI) 36-3401, *Air Force Mentoring*, and a new user-friendly mentoring tool called eVector (available on the Air Force Personnel Center [AFPC] Web site) will help commanders develop an outstanding unit-mentorship program.

## **Dealing with Setbacks**

*Many of life’s failures are people who did not realize how close they were to success when they gave up.*

—Thomas Edison

*Leaders’ roles in  
dealing with failures*

To learn, people need to be encouraged to try new things, and some will fail. A fundamental of empowerment is that leaders delegate the *right to fail* to everyone in the organization. Leaders guide people through the learning process, ensuring that the desired learning takes place. Obviously common sense is required because some situations require no tolerance: gross negligence, intentional disregard of AFIs, jeopardizing safety, failing due to a lack of effort, or repeated failure due to lack of ability. Each learning situation requires unique handling. However, if the setback results from failed initiatives, applaud the attempt, dissect it, and learn from what went wrong. Fear of failure prevents capable people from pursuing their vision.

The dedication of subordinates to improving their abilities is the most valuable asset an organization can have. Dedication is the product of two factors: (1) knowing the extent to which followers are succeeding and (2) knowing that the leader will view a setback as an opportunity for improvement. Followers must remain optimistic even in adversity. Helping individuals cope with inevitable setbacks they or the organization encounter is essential to ensuring they remain optimistic.



Many people believe that the key to success is to avoid failure. They stay with the things they know and do well, seldom trying anything new. The surest way to fail in the long term is to continue doing what you did yesterday. As John C. Maxwell stated, "Errors become mistakes when we perceive them and respond to them incorrectly. Mistakes become failures when we *continually* respond to them incorrectly."<sup>25</sup> Instead, subordinates should know that taking appropriate risks might result in failures; however, these are acceptable and within the boundaries of the big picture. The result is a unit with larger accomplishments due to leadership's attitude toward risk taking and the subordinates' courage to try. On the other hand, subordinates do count on the experience and understanding of strong leadership in dealing with setbacks. There is no substitute for being able to say to a subordinate, "I know, it has happened to me. Here's how I chose to deal with it. Here's what the consequences were. Here's what I would do if I had it to do over."<sup>26</sup>

## **Followership**

*Learn to obey before you command.*

—Solon

### *Importance of followership*

Preoccupation with leadership can keep individuals from considering the nature and importance of the follower. Virtually everyone is a follower, which makes the skills and needs of effective followership of universal importance. Commanders are in the unique position of being both at once. Few leaders have been successful without first having learned the skill of following. It is essential to recognize the qualities and needs of good followers and to look for ways to promote good followership. We often hear the expression "People are our most valuable resource." That statement is not accurate; the knowledge, skills, and abilities that people possess and offer to the accomplishment of the vision are the true resources. Leaders should strive to nurture and develop those attributes, giving the organization a greater capability. Leadership evaluation comes from organizational success, which is dependent on the development of followers.

## **Qualities of Followership**

### *Essentials of good followership*

The following 15 points identify areas that are essential to good followership:

1. Organizational understanding. Effective followers must be able to see how their work contributes to the big picture.
2. Decision making. Followers must be able to make sound decisions, often through teamwork.
3. Communication skills. Effective communication skills are crucial for teamwork and for providing feedback.

4. Commitment. Contribution requires a strong level of follower commitment to the organization and to individual work.
5. Problem solving. Greater responsibility and input increase challenges to the followers' intellect.
6. Honesty. Leaders are dependent on subordinates for feedback and information. Empowerment demands that followers tell the truth.
7. Thoughtful dissent. Leaders should encourage speaking out, including disagreement—the result is better decision making. Followers willing to speak out show precisely the kind of initiative that leadership is made of.
8. Integrity. Followers need loyalty and a willingness to act according to beliefs. Integrity means identifying values and being true to them.
9. Adaptability. Followers must have the flexibility to adapt to a changing environment.
10. Self-employment. Followers must take responsibility for their careers, actions, and development.
11. Pride. Followers know their abilities and take pride in their expertise.
12. Versatility. Followers have the ability to adjust to changing roles, missions, and systems without the paralysis caused by the stress of not knowing the answers.
13. Participation. Be enthusiastic, intelligent, and have self-reliant participation in the pursuit of organizational goals.
14. Courage. Have the courage to do and say the right things at the right times.
15. Credibility. Demonstrate competence in word and in deed.

*Qualities of  
effective followers*

Robert E. Kelly gives an all-encompassing definition that captures most of these qualities, providing a goal for leaders and subordinates alike to pursue. It reads as follows: "Effective followers have the social capacity to work well with others, the strength of character to flourish without heroic status, the moral and psychological balance to pursue personal and corporate goals at no cost to either, and the desire to participate in a team effort for the accomplishment of some greater common purpose."<sup>27</sup>

### **Follower Needs**

*What followers  
expect from leaders*

Much attention is devoted to leadership behavior but little interest is shown in what people working in organizations want and expect from leaders. This shortfall requires a commander's concern and action in order to remedy. If inattention persists, leaders lose the opportunity to fully exploit the talents of their people, or, in the worst case, their leadership is found wanting by the unit. According to Alan Bryman, "In times of adversity, a central focus of attention in the

missions of leaders is their program for relieving their current and prospective followers of the circumstances associated with crisis. Leaders take upon themselves a responsibility inasmuch as others will see in their leadership a solution to their distress.”<sup>28</sup>

Followers count on leaders when the going gets tough. This responsibility cannot be taken lightly. How subordinates perceive their leaders is directly affected by how they think their leaders perceive them. Their performance will reflect that perception. Followers treated as if they are unimportant, or those who perceive that to be the case, act as if they are unimportant.

*How leaders can  
make followers  
feel important*

The following are three ways in which leaders can treat subordinates with importance:

- Maintain or enhance their self-esteem.
- Listen carefully and respond with empathy.
- Ask for their help and encourage their involvement.

A few moments of sincerity and thoughtfulness will go a long way toward satisfying followers’ basic needs. Followers perform best when they want to be in a unit and can identify with it. Followers ordered into or trapped in a unit will not do well.

*Promoting  
followership*

Like motivation, empowered followership requires a joint effort among leaders, units, and individuals. Commanders help by encouraging, rewarding, applauding, and supporting the process, but they cannot create followers simply by leading them.

*How leaders can  
win followership  
support*

Winning support from subordinates requires leaders to share their personal views and willingly listen to their people’s ideas. Modern leadership and followership require a symbiotic approach of mutual support—leaders listen and respond to the ideas and needs of subordinates, and subordinates listen and respond to the ideas and needs of leaders. Both must treat each other fairly and respectfully. Mutual trust is the axis around which the symbiotic relationship revolves. Team requirements are best served when leaders help followers develop their own initiatives and strengthen them in the use of their own judgment, which enables them to become better contributors. The rewards of encouraging empowered followership are many. For example, organizational skills, troubleshooting, problem solving, information gathering, conflict resolution, and change management all improve. Promoting empowered followership by “old fashioned” leadership characteristics will work in today’s command—especially the practice of getting out amongst your troops, on their turf. The front line of your command—not your office—is where necessary information and required actions reside.

Gen George C. Marshall received a report from a general on his staff that some of Marshall’s officers had morale problems. General Marshall said, “Officers don’t have morale problems. Officers cure morale problems in others. No one is looking after my morale.”<sup>29</sup> This statement is sound principle because low morale is

unbecoming to a leader. Your high morale as commander is one element of promoting followership that must never change.

The success of great leaders depends on their ability to establish a base of loyal, capable, knowledgeable followers. This is a truism as old as humankind and has been impervious to technology and the most radical changes.

## **Dealing with Change**

*There is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things.*

—Niccolo Machiavelli

Personnel levels continue to drop, and funding is questionable at best. The world situation is in constant flux. Demands on military units remain high; missions are adjusted, adapted, or outright changed daily. The ability to manage change effectively is an important leadership skill.

*The challenge  
to leaders*

The mad rush to improve performance and pursue excellence has multiplied the demands on leaders, managers, and organizations. The phrase of the future seems to be “doing more with less.” We can count on mission increases, even though resources will remain the same or decrease. Weapon systems have grown more technically sophisticated, organizational structures have become leaner and flatter, and multinational forces embrace diverse cultures and values. Therein lies the challenge—continual change driven by technology, globalization, and demographic diversity. The leader’s challenge in managing high-pressure change is to maintain morale and motivation. Today, commanders must use optimism as the guiding force influencing every leadership action and decision.

*Two main problems  
leaders face*

Patrick Irwin and Frank Langham highlight two main problems that leaders face: (1) failure to accept the inevitability of change and (2) failure to comprehend the accelerating rate of change.<sup>30</sup> The rate of change must be compensated for by a responsive and flexible vision. Without such a vision guiding the planning process, commanders face contingencies and eventualities that drain resources and draw time and attention from essential activities.

*The role of leaders  
in times of change*

Leadership and innovation are inextricably connected. Innovation is the process of bringing new ideas, methods, or solutions into use. Innovation means change, and change requires leadership. More change always demands more leadership. Commanders are the chief transformation officers within their organizations and must learn everything there is to know about the changes taking place. They must learn to deal with emotions resulting from the chaos and fear of change, turning insecurity into hope. It is not enough to put new processes in place; commanders

must motivate people to rise to the challenge and accept and support the new values and beliefs demanded by change.

In times of adversity, leaders should first create a unit climate in which members can accept the challenges of change. If things appear to be falling apart, leaders demonstrate how the pieces can be used to build an exciting new world through cooperation. Out of the uncertainty and chaos of change, leaders rise by articulating a new image of the future and banding the organization together. Formal communication from the commander is imperative. Communication about change must be quick and reach everyone assigned. Otherwise, rumors will fill the void and result in additional problems. Communicating your vision of the change and keeping channels open to understand the response (and problems) to the change will help in effecting the change.

*Advice for leaders in coping with change*

The following list provides advice to help leaders work through change:

1. Involve your people in the process. Assign change-related tasks and roles to help them relate to what the future holds.
2. Fully explain the reasons for change to all members of the organization. The explanation must make sense.
3. See change positively; offer opportunities for new ideas, creativity, innovation, and stimulation.
4. Use the tools of change—information, resources (including time), and mutual support.
5. Be aware of and prepared for the logistical and psychological aspects of change (logistics and people problems).
6. Establish a climate for change; starting with yourself, ensure that you create enthusiasm.
7. Facilitate change; you cannot force positive change.
8. Let go of old ideas and experiment with alternative concepts (be open-minded).
9. Seek and accept criticism.
10. Instead of simply matching your actions to situational needs and personal limitations of subordinates, think about how you can alter the situation.
11. Never become complacent. Think ahead. Even when things are going well, watch for signs of difficulty and be ready to take early action. The best time to turn a battleship around is at the first sign of danger—not after the torpedoes have started to strike!

Leaders must maintain balance between a clear understanding of the present and a clear focus on the future. Peter Senge, author of *The Fifth Discipline*, calls this balance “creative tension,” saying, “Maintaining an accurate picture of current reality is just as important as a compelling picture of a desired future.”<sup>31</sup>

*The most important  
leadership tasks in  
time of change*

The basic quality a leader must have to cope with change is tough-minded optimism. Leaders must instill in their people a mixture of morale and realism. People must know the worst but have a future goal worth working toward. Leaders must help followers see frustration and risk not as reason to doubt but as reason to strengthen their resolve. The first and last task of a leader is to keep hope alive and confidence unimpaired.

### **Commander's Checklist**

- “Management” is getting people to *do* what needs to be done; “leadership” is getting people to *want* to do what needs to be done.
- Effective leadership combines both behaviors.
  - A manager administers—a leader motivates.
  - A manager maintains—a leader develops.
  - A manager relies on control—a leader inspires trust.
- The qualities of an effective leader are grouped into four categories.
  - Attitude (encouragement, enthusiasm, energy)
  - Values (trust, loyalty, integrity, honesty)
  - Character (compassion, understanding, courage)
  - Credibility (accountability, flexibility, mastery of processes)
- Effective leaders are responsible for creating and instilling vision.
  - Provide a vision of the unit's goal and leadership to achieve it.
  - Spread visionary leadership throughout the unit.
  - Avoid letting the vision become an obsession.
  - Encourage subordinates to articulate visions.
- Empowerment includes giving subordinates a job to do and the freedom to be creative in doing it.
  - It is not delegation of authority.
  - It is not participative management.
  - It is not laissez-faire leadership.
- Guidelines for empowerment:
  - Be flexible in introducing changes.
  - Keep subordinates aware of who is steering the ship.
  - Use disparate knowledge and values of subordinates to meet organizational goals.
- Leaders must encourage learning.
  - Provide challenging and enlightening tasks.
  - Recognize unit and individual successes.

- Set standards that give members goals to reach.
- Encourage and facilitate formal education.
- Identify and develop people with leadership potential.
- Help members cope with setbacks.
- A leader's success depends on establishing a loyal, capable, and knowledgeable followership.
- Leaders must create a climate of optimism and confidence among subordinates in times of change.

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31. Quoted in Snyder and Graves, 6.



# Base Agencies

*This is our special duty, that if anyone specially needs our help, we should give him such help to our utmost power.*

—Cicero



This chapter discusses services provided on most Air Force bases. Military agencies providing services are listed under the assigned wing, group, or squadron. Commanders must build working relationships with each other and with key people within agencies to accomplish unit missions. These relationships are of major importance when a concern or problem needs immediate action. Due to privatization of base services (A-76 studies), some agencies or services may not be available locally. Check your location for agencies and services listed.

## American Red Cross

### *Personal emergencies*

The American Red Cross (ARC) provides help in personal emergencies. ARC supports and supplements Air Force activities involving morale, health, and welfare of armed forces personnel and their families. Its representatives are the emergency communications link between members and their families when direct communication is impossible. They provide information about emergency leave and extensions of such leave. ARC will obtain information about family members when they cannot be located or if concern about their welfare exists. To locate the nearest ARC office, call their Emergency Service Center toll free at (877) 272-7337.

### *Financial assistance*

When a military member is granted emergency leave to make a sudden trip home because of an immediate family emergency, ARC will provide need-based financial assistance to help defray travel expenses. Check with the Family Support Center (FSC), Air Force Aid Society (AFAS) program manager for local ARC policy. Due to ARC downsizing, AFAS involvement is necessary in most emergency travel situations. (Note: In most cases involving nonimmediate family members—aunts, uncles, and grandparents—AFAS provides

funding.) AFAS also helps when basic maintenance assistance is necessary. ARC and FSC work closely to ensure that members' needs are met.

## **Area Defense Counsel**

### *Purpose of ADC*

Commanders must support the area defense counsel (ADC) to ensure that the military justice system not only is fair but also is perceived as fair. Establishment of the ADC program improved the military justice system's credibility. Although stationed on a base, ADCs are assigned to the USAF judiciary and report directly to the regional chief circuit defense counsel. This independence allows the counsel to decide issues based on facts and applicable law without fear of command interference or reprisal. Independence is critical to maintaining ADC's reputation for providing quality services.

### *ADC services*

The ADC attorney is an experienced judge advocate selected from the wing or a comparable legal office who possesses strong advocacy and managerial skills. The attorney has qualified paralegal assistants, and together they provide defense services to members facing military justice or adverse administrative actions. Services include all phases of the courts-martial process, actions under Article 15 of the *Uniform Code of Military Justice (UCMJ)*, and administrative separations or demotions.

### *Commanders' responsibilities*

As a new commander, meet with the ADC; at some point a member of your command will need their services. Keep the counsel's phone number on hand for referrals, and encourage members to consult them on military justice issues. The quality of representation members receive during their association with ADC can provide lasting benefits to themselves and the Air Force.

## **Office of Special Investigations**

### *Investigations*

The Air Force Office of Special Investigations (AFOSI) is responsible for investigations of espionage, sabotage and subversion, counterintelligence and related investigative activities, major criminal matters, and internal security investigations. Within the Air Force, investigations of alleged major offenses committed against a person, personal property, the US government or its property—as defined by regulation or law and in accordance with jurisdictional agreement—are conducted as requested by commanders. AFOSI assists commanders by preparing interim or final reports to keep them advised of trends, patterns, irregularities, and offenses as a means of maintaining the security of personnel and resources. AFOSI collects information of investigative and counterintelligence significance and information pertinent to the security of overseas USAF installations. It maintains liaison with

and provides requested assistance to other US and foreign government agencies in law enforcement, intelligence, and counterintelligence. Distinguished visitor protective services for senior USAF officials, other US government officials, and foreign dignitaries are provided when properly requested.

## **Wing Chaplain**

*Spiritual and  
counseling needs*

Chaplains help commanders fulfill their responsibility for spiritual and moral welfare of members in their command. They administer the wing's religious programs, provide religious ministry to military and family members, and offer counseling. Specific information obtained during a counseling interview is privileged. Chaplains can be invaluable resources in helping evaluate and understand organizational, institutional, and individual dynamics often involved in general problems common to military life (i.e., morale).

*Total confidentiality*

Refer military members who encounter personal or interpersonal difficulties to the chaplain. The chaplain is the only person on base who offers total confidentiality (outside the attorney-client relationship). Since chaplains represent a minimal threat as figures of military authority, they can help facilitate positive changes between commanders and subordinates.

*Key roles of  
commanders*

The commander is key to making the chaplain an integral part of the unit. Invite the chaplain to commander's calls and social functions. Social functions offer a nonthreatening environment that allows unit members and spouses an opportunity to meet and talk with the chaplain. Most units have a designated chaplain whose name and phone number must be on key personnel listings.

## **Comptroller**

*Wing support*

Commanders must have operating funds. They must ensure that their annual budgets are based on mission requirements, submitted on time, and monitored throughout the budget cycle. They must review past years' budgets against current requirements and ask the following questions: Did shortfalls occur? Was fallout money requested? Has the mission changed? Meet and talk with people in the various comptroller sections. Ultimately they control your funding.

*Commander's  
principal financial  
advisor*

The comptroller serves as the principal financial advisor to the commander and staff. The comptroller directs and controls operations and activities of the financial management function; provides oversight and direction for the wing's financial management activities; and provides oversight of morale, welfare, and recreation (MWR) financial and accounting operations and internal controls. The financial management function is divided

into two areas—financial services office and financial management analysis (FMA).

The financial services office oversees financial services, military pay, travel pay, accounting liaison, civilian pay liaison, and cashier operations. This office provides direct customer service to wing personnel and acts as liaison between wing organizations and activities and the Defense Finance and Accounting Service (DFAS).

### **Military Pay**

Military pay provides customer services such as making casual and emergency payments, processing collections, and verifying entitlements. It also performs personnel in- and out-processing and resolves pay problems.

### **Travel Pay**

Travel pay provides the following customer services: computing cash travel advances, assisting resource advisors (RA) in estimating costs of temporary duty (TDY) trips, answering travel questions and inquiries, processing collections, assisting in claims submissions, and inputting merged accountability fund transactions.

### **Accounting**

Accounting liaison controls and certifies availability of appropriated funds for anticipated wing requirements. It updates accounts receivable records for cash and checks received for collection, and updates and adjusts organization fund targets in the base supply and accounting systems. Liaison also assists DFAS in processing accounting interfund transactions between other federal agencies and wing organizations. It updates base supply's materiel acquisition control record with fund targets provided by higher headquarters and interfaces between the wing and DFAS in the reconciliation of accounting records and the production of financial management reports and information retrievals.

### **Civilian Pay**

You will probably have civil service employees working for you. Some will have pay problems or concerns and will seek your advice. Do not refer them to civilian personnel flight (CPF) for pay or leave inquiries. Many civilian employees and military members are under the misguided assumption that civilian pay is located in the CPF—civilian pay liaison is a part of the comptroller section.

Civilian pay liaison services civil service employees. It collects and consolidates time and attendance reports and forwards them to the appropriate payroll office for processing. Liaison assists civilian employees in preparing and processing claims, indebtedness

transactions, and retirement actions. Additionally, it interfaces with the servicing CPF and the budget and payroll offices to produce civilian pay cost reports. Information is used to reconcile and update pay and leave records for wing civilian employees.

### **Cashier Operations**

Cashier operations performs cash disbursement and collection services for military and civilian personnel; makes appropriate input to automated accounting and control systems; safeguards cash and negotiable instruments; maintains cash-accountability control records; services base organization change fund and the Air Force Government-wide Purchase Card, or GPC card, fund accounts; and supports peacetime mobility deployment and contingency operations.

#### *Budget*

Commanders must work closely with RAs and FMA, or budget office, to develop and execute their budgets. FMA provides guidance and assists the wing commander and RAs in developing, executing, and analyzing operating budgets, funds allotments, and allocations. It performs economic analyses for capital budget decisions, evaluates lease-versus-buy financial decisions, and manages the wing's resource information program. FMA also provides technical and analytical financial services to wing organizations and activities.

### **Military Equal Opportunity**

The military equal opportunity (MEO) program's primary objective is to improve mission effectiveness by removing or stopping institutional, personal, or social barriers that prevent Air Force members from rising to their highest levels of responsibility. MEO seeks to eliminate unlawful discrimination and sexual harassment against military members, family members, and retirees based on race, color, sex, national origin, or religion. MEO assists commanders by conducting equal opportunity programs (commander's calls) and teaching human relations education (HRE) classes at all installations.

Commanders must ensure that all individuals in the organization receive equal treatment. If a discriminatory practice is discovered, commanders must take action to correct it. Chapter 9 provides additional information on sexual harassment.

### **Staff Judge Advocate**

#### *Judicial advice*

The staff judge advocate's (SJA) major responsibility is to advise commanders on administering justice. In addition, the SJA handles claims, conducts administrative discharges, provides legal assistance

in personal matters (such as preparing wills and answering income tax questions), reviews line-of-duty determinations, advises on nonappropriated-funds activities, participates in labor-law issues, advises on environmental law, and provides legal reviews for all base contracts.

Consult the SJA before taking disciplinary action (e.g., administering Article 15). Early involvement of the SJA in disciplinary actions will ensure that your actions are legal and have the desired effect.

## **Inspector General**

The Air Force Inspector General (IG) program is a leadership tool. The program's full scope can be found in AFPD 90-2, *Inspector General—The Inspection System*, which charges the secretary of the Air Force, Inspector General (SAF/IG) to assess the readiness, discipline, efficiency, and economy of the Air Force and to report findings to the SAF and Air Force chief of staff. Major commands (MAJCOM) and lower-level organizations will establish programs to meet the charge.

A separate, full-time installation IG program was established to remove perceived conflict of interest, lack of independence, and apprehension. The IG is charged with responsive complaint investigation and effective fraud, waste, and abuse (FWA) programs. Any active duty Air Force member, guardsman, reservist, family member, retiree, or civilian employee may file an IG complaint. The IG will use objective fact-finding methods to address the complaint and report findings to the installation commander. In many cases the IG investigation helps commanders discover and correct problems affecting productivity and morale.

The IG program does not investigate complaints governed by other policies or directives (e.g., MEO complaints). Review Air Force Instruction 90-301, *Inspector General Complaints*, for specific guidance. Commanders cannot deny members the right to file an IG complaint.

## **Safety**

Commanders must implement safety and health programs within their units. All members must receive safety training and have a safe working environment. Additionally, commanders will implement Operational Risk Management (ORM) within the command.

Safety personnel manage the Mishap Prevention program and ORM implementation for organizational commanders and advise commanders, functional managers, and supervisors on safety issues. All mishap, hazard investigation and reporting, safety inspections of facilities and operations, and program assessments

are conducted for commanders by safety personnel. These personnel conduct classes and provide training and materials for all base personnel including commanders, supervisors, safety monitors, motorcyclists, and new arrivals to the base. They develop explosive site plans and approve explosive licenses. The safety office maintains liaison with all governmental safety agencies. Air Education and Training Command Pamphlet (AETCPAM) 91-203, *AETC's Squadron Commander's Safety Pamphlet*, 1 May 1997, provides commanders insight and helpful hints for planning and execution of safety programs. Commanders must have a proactive safety program and ensure that facilities, equipment, work areas, and work processes comply with established safety standards. Commanders will implement an aggressive seatbelt-usage program and include safety as part of their unit self-assessments.

Safety must be the commanders' top responsibility. Commanders must work with the safety office to make their units as safe as possible.

## **Public Affairs**

The Air Force public affairs (PA) program operates in three areas—internal information, public information, and community relations.

### **Internal Information**

The design of the internal information program is to help each Air Force member better understand our government, the mission, the need for serving overseas, and the importance of harmonious relations with other countries. The principal means of disseminating this information is through the base newspaper and commander's calls.

### **Public Information**

The purpose of the public information program is to give the public timely and accurate unclassified information about the Air Force. The primary means are speeches, statements, interviews, news and feature stories, and photographs.

### **Community Relations**

Winning the local community's support for the base mission is the goal of the community relations program. The PA officer will advise you about community programs. To get the most from PA's programs, practice the following:

1. Use base and local newspapers to obtain unit publicity. Recognition is a super reward and motivator.

2. As the author, you can guide the editorial content of articles you write for the base newspaper, helping to advertise or having people understand your particular topic.

Contact the PA officer before releasing any information to the press. The PA officer must certify information for release in order to prevent base personnel from inadvertently violating security or policy requirements in official or unofficial releases.

## **Logistics Plans**

Commanders must know their units' mobility requirements. The mobility-plans function of logistics plans maintains this information. This office is the wing commander's primary advisor for deployment matters and is the installation focal point for the War Reserve Materiel (WRM) program. It develops and provides deployment support to process wing resources and to assist Air National Guard and Air Force Reserve units. Taskings by the Joint Chiefs of Staff (JCS) and Headquarters USAF are monitored, and an installation deployment plan for all wing unit type codes (UTC) is developed by the mobility-plans function. The mobility-plans function negotiates, maintains, and updates all support agreements between base agencies and associated organizations. It is also responsible for daily operations of the contingency operations/mobility planning and execution system (COMPES). This system updates the wing's materiel and personnel-deployment database. Ensure that you check this database against the one maintained by your unit.

## **Command Chief Master Sergeant**

The command chief master sergeant (CCM) plays a critical role in enlisted-force readiness. The CCM serves as a two-way conduit for information between commanders and the enlisted force. CCMs advise commanders on issues that could negatively affect the enlisted force and the mission. Issues include proper utilization of the enlisted force, quality of enlisted-leadership management, supervisory training, operations tempo, and quality-of-life (QOL) issues. As a new commander, invite the CCM to speak at one of your early commander's calls.

## **Medical Group**

*Objective  
medical group*

Commanders must be concerned with medical support for military and family members in their command. Air Force medical facilities are structured around the new objective medical group concept,



possibly consisting of various squadrons, centers, hospitals, clinics, or medical facilities, according to the size of the facility.

The medical group's primary mission is to provide medical support necessary to maintain the highest possible degree of combat readiness and effectiveness for the Air Force. This includes tactical medical support, dental care, flight and missile medicine, air and space physiology, and environmental services for all eligible personnel in satellite, tenant, or assigned units. When medical resources are unavailable at the base level, the attending physician may obtain consultation services from a referral medical facility or transfer the patient to another military medical-treatment facility where the required care is available. If medical care exceeds base capability or cannot be obtained within a reasonable time or when it is not cost-effective to transfer the member to a military hospital or medical center, the active duty member is referred to local civilian sources for medical care. Family members receive care under the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), now known as TRICARE. The base TRICARE office is available to assist with questions ranging from medical benefits and eligibility to future health-care implementation plans.

Regardless of the size and type of care, commanders will work closely with medical personnel on many unit programs. In the Weight and Body Fat Management Program (WBFMP) and Fitness program, unit managers will work closely with the Health and Wellness Center (HAWC). The Air Force Alcohol and Drug Abuse Prevention and Treatment (ADAPT) program requires commanders and first sergeants to work with medical personnel. Ensure that your unit has an established suicide prevention program, and work closely with Life Skills (Mental Health) to prevent suicide. In cases of suspected or actual spouse or child abuse, family maltreatment, or family members having special needs, you must refer them to the Family Advocacy Program (FAP).

## **Base Civil Engineering Squadron**

*Facilities  
maintenance*

The base civil engineer (BCE) squadron is central to the needs of units and assigned personnel. BCE affects every part of your mission, from roads to housing. It provides essential facility and utility services to support the mission. BCE approves and provides contract requirements for or performs maintenance, repair, and minor construction of base facilities. BCE provides advice on costs and feasibility of self-help work. Other major BCE services include refuse collection, custodial services, entomology, roads, grounds, dormitories, and family housing.

*Base long-range  
plan*

BCE authors the base long-range facilities plan. Any unit requiring a new facility must obtain approval from BCE's facilities

board. The BCE real estate working group manages control and use of all base facilities.

*Engineering services*

BCE provides fire protection; crash rescue; explosive ordnance disposal; and nuclear, biological, and chemical passive defense.

*Environmental leadership*

Protecting the environment is everyone's responsibility. BCE uses four pillars in their environmental program—restoration, compliance, pollution prevention, and conservation. BCE reduces pollution and ensures compliance with laws and standards, conserves natural and cultural resources, cleans up contamination from past practices, and promotes global environmental stewardship. Additionally, BCE manages comprehensive base recycling and energy conservation programs.

*Expeditionary engineering*

BCE executes its expeditionary mission using Priority Improved Management Effort Base Engineer Emergency Force (PRIME BEEF) personnel. PRIME BEEF is composed of military members who perform day-to-day maintenance of base facilities. In many cases when military personnel are deployed, BCE will defer all but the most urgent maintenance requirements.

### **Housing Management Flight**

*Fair and equitable housing*

Housing management flight supports commanders on all aspects of family housing and unaccompanied dormitories. Its mission is to provide adequate government housing to all eligible personnel based on availability and to assist personnel in finding nondiscriminatory off-base housing. The flight consists of the housing assistance section, housing facilities section, and furnishings section. Assurance to commanders that personnel are equitably provided the best on-base housing in a professional manner is its most important service.

*Government housing*

The housing assistance section provides customer services that include applications for housing, initial briefings, waiting lists, assignment and termination of government housing, and stopping or starting of basic allowance for quarters (BAQ) and variable housing allowance (VHA). The section also assists eligible personnel with outprocessing and provides information on new base assignments. Housing referral provides military personnel and civilians in overseas locations with personalized service to assist in locating suitable nondiscriminatory housing for rent or sale and provides information on the local community. Additionally, it counsels personnel on eligibility for Federal Housing Administration (FHA) and Veterans Administration (VA) loans. It investigates and mediates complaints between property owners and tenants. Serious complaints (MEO) are reported to the installation commander for further investigation.

**Housing maintenance.** The housing facilities section monitors the housing maintenance and repair program, which includes routine maintenance, emergency repairs, and all major and minor

renovation projects for family housing. Personnel in this section conduct key control, precheckout inspections, and in- and out-inspections of family housing.

**Dormitory furnishings.** The furnishings section provides commanders with acquisition and disposition support for all dormitory furnishings through the supply system and works with commanders on budgeting for and execution of the furnishings program.

## **Communications Squadron**

The communications squadron acquires, manages, operates, and maintains the base communications and information systems. This includes telephones, land-mobile radios, public address systems, personal computers, switchboard, visual information services, local area networks, fiber optic and cable installation, message center, air traffic control and landing systems, base telephone switch, cellular telephones, pagers, navigational aids, meteorological systems, and oversight of all communications projects.

*Vital role of the  
communications  
squadron*

The communications squadron is aligned according to the Objective Communications Squadron structure and consists of four flights—information systems flight, mission systems flight, support flight, and plans flight.

### **Information Systems Flight**

Personnel are responsible for collecting, processing, protecting, storing, and transferring information electronically or on paper. They provide computer network design, configuration management, local-area-network site surveys, technical solutions, product installations, customer help desk, computer inventory, and customer training on various office automation software. Examples are base communications center (BCC), base records management, Freedom of Information Act (FOIA) requests, base information transfer system (BITS) and Postal Service Center, wing information protection office, and information technology equipment management.

### **Mission Systems Flight**

Personnel install and maintain telephones, cable wires, and airfield systems. They maintain all base navigational aids, weather instruments, and encryption equipment that supports sensitive digital radio and data transmissions. Additionally, they manage land-mobile radios, cellular telephones, frequency management, maintenance support, material control, secure communications, telephone switchboard, inside and outside telephone plants, and cable maintenance.

## **Support Flight**

These publications and visual information experts oversee forms and publications management, visual information management, and photographic and graphics services.

## **Plans Flight**

Personnel are responsible for long-range communications, computer planning, implementation, and resource management. They identify, plan, program, and implement customers' communications requirements such as local area networks, telephones, and cable distribution systems. The flight manages long-range planning, architecture, and integration along with responsibility for the following areas: plans, agreements, contracting, financial management, telephone billing, and project management for all communications or military construction projects involving communication.

Today's communications squadron has a vital, indispensable role on every base. Without it, communications cease—without communications, the mission stops.

## **Contracting Squadron**

*Obligation of  
government funds*

The contracting squadron provides local purchase support as authorized by law and regulation for the assigned base mission. Local purchase authorization provides an alternative method to the centralized supply or service cycle, allowing local acquisition of needed parts and services. Commanders must be involved because in performing individual missions, their units generate requirements that will require using the unit's GPC card or obtaining local purchase support through the base contracting office. Because each base has extensive service contracting for many of its support functions, commanders must be aware of their responsibilities relative to contracting and engage contracting early in the requirement-development process. This will ensure timely and accurate contracts that satisfy mission requirements.

*Purchasing supplies  
or services*

The contracting office neither generates requirements for supplies or services nor writes specifications or work statements. Commanders determine needed supplies or services and submit requests through appropriate channels. If the needed supply or service must be a particular brand or source, the commander must provide a "sole source justification" explaining why another brand-name item will not suffice. Commanders must plan their requirements, allowing sufficient time to fill the request. Supply will either provide the item, have BCE provide the service, or begin the contracting process. The contracting process must follow all actions required by law and regulation—advertising time, bid time, bid-analysis time, and contractor-performance time. Deficiencies of any

kind in requirements or incorrect paperwork only serves to delay the time the item or service becomes available to the organization.

*Contracted functions*

The current trend of privatizing base operating support functions is almost certain to result in your having contractors in your unit. Examples of contracted services include food service, janitorial services, refueling and defueling services, housing administration, maintenance, refuse collection/disposal, and basewide operations and maintenance services. Commanders should contact the base contracting officer or quality assurance evaluator (QAE) to report poor performance or nonperformance by a contractor. The QAE is the contracting officer's representative who monitors performance for the government.

By law, only duly appointed contracting officers are authorized to obligate government funds. Should commanders request or suggest a contractor do something (preobligate) that the contractor construes to be directive, commanders or their personnel may be held monetarily liable unless the MAJCOM commander ratifies the order.

*Contract repair services*

The contract repair services branch is the only contracting function with which commanders normally work directly. For supplies and services requirements, commanders send requisitions through base supply or BCE, respectively. However, for repair of furniture, office machines and equipment, and other items authorized for local repair, commanders will process an AF Form 9, Request for Purchase, and submit it directly to contract maintenance.

## **Mission Support Squadron**

*Total support*

The mission support squadron (MSS) provides personnel support to commanders, military members and families, civilian employees, retirees, reservists, and guardsmen. Commanders, first sergeants, and commander support staffs (orderly room) interact with MSS daily. As you review the services and functions provided by MSS, you will understand how important it is to become familiar with all MSS flights and their functions.

### **Education Services Flight**

*Education is the key to better performance*

The education services flight provides the programs set out in DOD Directive 1322.8, *Voluntary Education Programs for Military Members*, which states that

education programs shall be established and maintained within DOD that provide service members with educational opportunities in which they may participate voluntarily during their off-duty time or at such times as authorized by military services' policies. Additionally, voluntary education programs shall provide educational opportunities comparable to those available to citizens outside the military; and be available to all active duty personnel regardless of duty location; and include courses

and services provided by accredited postsecondary vocational and technical schools, colleges, and universities.

*Financial assistance* Tuition assistance (TA), Veterans Education Assistance Program (VEAP), and the Montgomery GI Bill (MGIB) are financial assistance programs that help defray off-duty education expenses for enlisted personnel. Invite education services personnel to your commander's call to give unit members details on the programs.

*Guidance counselors* Education services employs professional-education guidance counselors to provide information regarding academic programs, commissioning programs, testing opportunities, financial aid, and postmilitary career opportunities.

*On-base education opportunities* Numerous educational opportunities are available at most bases. Courses range from development through graduate levels. Degrees offered meet the needs of the Air Force, the installation, and the desires of the military population. A nontraditional approach in class scheduling allows maximum participation for military members.

The mission of education services flight is to provide education programs to active duty personnel, but they offer the same services to military retirees, guardsmen, reservists, and family members. Educational grants are available for active duty spouses in overseas locations through the FSC, AFAS, Spouse Tuition Assistance Program, and Hap Arnold Scholarship Fund.

*Testing* Education services offers a variety of tests for educational purposes and administers professional military education (PME) end-of-course examinations. Tests include the College Level Examination Program (CLEP), American College Test (ACT), Scholastic Aptitude Test (SAT), Graduate Record Exam (GRE), and the National Teachers Exam (NTE). Tests are normally free to active duty military members, and an appointment is required. It is important for students to consult with counselors for test selection and preparation. Students may earn up to 30 hours of transferable credit through testing.

*Community College of the Air Force* The education services flight helps enlisted members complete associate degree requirements through the Community College of the Air Force (CCAF). Members have the opportunity to earn an Associate of Science degree in their Air Force specialty code (AFSC). CCAF is regionally accredited and has the authority to award college credits for technical schools, skill levels, and PME. Members meet degree requirements by combining credits earned through the military with civilian courses and testing. With the assistance of a guidance counselor, students complete their CCAF degrees while taking coursework that applies toward their baccalaureate degree goals.

### **Family Support Flight (Center) (FSC)**

The Air Force recognizes the direct correlation between a member's ability to successfully accomplish a mission and the QOL for Air Force families. The FSC is the primary service organization and focal point for family matters. The FSC's mission is to support Air

Force readiness and retention by helping families adapt to the demands of Air Force life and assisting commanders in their responsibility for the health and welfare of military families. The FSC is chartered as a primary prevention agency and works to ensure resources required to support families are available and accessible. Services and programs are available to active duty members and their families, guardsmen and reservists on active duty (including their family members), retirees and their families, and DOD civilians. Programs and services provided by the FSC are discussed in the following paragraphs.

*Information and  
referral*

FSC serves as the commander's primary coordinating resource agency to provide members and families with information regarding military and civilian community resources. The FSC maintains comprehensive, accurate, up-to-date information on available base and community resources. Members and their families can obtain information by phone or Internet. It is best members visit the FSC in cases where they are unsure what resources are required.

*Personal financial  
management  
program (PFMP)*

PFMP focuses on assisting members and their families in financial management. The program incorporates information, education, and personal financial counseling. Counselors encourage financial responsibility by teaching debt reduction, budget development, record keeping, credit management, financial planning, and savings and investment planning. Commanders can order members with financial problems to attend one-on-one counseling provided by the PFMP program.

*Air Force Aid Society  
(AFAS)*

Air Force Aid Society is the official charity of the Air Force and is available around the clock to active duty Air Force members, guardsmen and reservists on active duty, retirees, and their family members. AFAS helps in emergencies by providing interest-free loans or grants for basic needs such as food, car repairs, rent, utilities, and medical expenses not covered by TRICARE. Various community assistance programs are available through AFAS. Move Assistance, Nursing Mothers, Car Care Because We Care, Respite Care, Give Parents a Break, and educational grant programs are a few examples of available programs. Members and their families do not have to be on-station to receive AFAS assistance. AFAS, Army Emergency Relief, Navy-Marine Corps Relief, and American Red Cross have reciprocal agreements that allow members or their families to receive aid. An example would be a member on leave away from the local area whose car breaks down and, the member does not have money for repairs. The member can go to the nearest ARC office or military base and receive aid. In most cases, the organization will require a military identification card and a repair estimate. AFAS and ARC work together to assist the military community.

*Family readiness*

The family readiness program focuses on strengthening the unit's mission by helping members and families cope with separations resulting from military deployments, TDYs, or remote assignments. It includes the repatriation of dislocated families

during natural disasters or overseas evacuations. The program provides Hearts Apart morale calls (via DSN), video teleconferencing, and support groups for families left behind. Predeployment planning and reunion planning are available to reduce stress levels and anxiety associated with deployments. Predeployment and TDY briefings are mandatory for members deploying or going TDY for periods exceeding 30 days; family members are encouraged to attend.

*Family life skills  
education*

Family life skills education offers a variety of prevention education programs that include parenting education, marital and family enrichment, family separation, family diversity, cross-cultural families, balancing work and family, single parenting, and other family concerns.

*Transition  
assistance program*

The transition assistance program (TAP) helps members separating or retiring from the Air Force, Guard, or Reserve and DOD civilians under reduction in force (RIF) or base closure. TAP provides transition counseling, career planning, development of job search skills, and access to employment opportunities and information worldwide. The program provides comprehensive information on congressional entitlements, Department of Labor information, and Veterans Affairs services.

*Relocation  
assistance program*

The relocation assistance program (RAP) helps members and families prepare for relocation to a new base and to adjust upon arrival. RAP's primary objective is to minimize problems occurring during relocation by providing information and services to members and families before, during, and after a permanent change of station (PCS) move. The program provides comprehensive relocation assistance, current information, and education and training during all phases of the relocation process. A loan closet offering household items such as cookware, futons, small appliances, dishes, and essentials for personnel and families who are PCSing either in or out of the installation is maintained by RAP. RAP also has installation videos and brochures from other bases available for checkout to help members in their PCS choices. Additionally, members can log on to [www.crossroads.mil](http://www.crossroads.mil) or Air Force Link to obtain the latest information on all DOD installations.

*Career focus  
program*

The mobile military lifestyle of frequent moves, often to overseas locations and high-cost areas, can cause interruptions in the military spouse's career progression. The career focus program (CFP) assists spouses in enhancing their marketability when searching for jobs by providing networking opportunities, job listings, and career counseling. CFP contains access to employment opportunities and extensive labor market information. Computer resource centers are available in each FSC to assist with job searches, resume writing, and skills development.

*Volunteer resource  
program*

The volunteer resource program focuses on assisting individuals wishing to perform volunteer services and agencies or organizations in need of volunteer help. The program also provides individuals an



opportunity to maintain skills and gain job experience. Various recognition and incentive programs are included in the program.

### **Military Personnel Flight**

*Single manager of  
base-level personnel  
systems*

For maximum economy, efficiency, and service, the military personnel flight (MPF) is the single manager of base-level personnel systems (BLPS) for all units and members serviced, whether on base or geographically separated from the MPF. Their mission is to provide quality personnel support to commanders, members, and family members through the administration of personnel programs. You will work with MPF on all military actions. Examples of the actions include identification card issue, military records maintenance, casualty services, promotions and testing, reenlistments and extensions, assignments, passports, formal training, separations, retirements, and readiness.

### **Civilian Personnel Flight**

*CPO services*

The civilian personnel officer (CPO) directs the activities of the civilian personnel flight (CPF). Commanders rely on the CPO to execute the civilian personnel program according to law, executive orders, regulations, and established standards. More precisely, the CPO influences rather than controls the program. The CPO provides staff leadership in developing and implementing programs, provides civilian personnel services for employees assigned to the installation, and provides professional advice and assistance to management officials. In providing services, CPF acts carefully to ensure management's personnel responsibilities are not abrogated.

*Functions and  
responsibilities  
of CPF*

The basic functions and responsibilities of CPF vary. Every on-site CPF, regardless of size, provides advice and assistance to management officials and employees. Satellite civilian personnel flights (SCPF) service less than 800 employees and receive support from consolidated civilian personnel flights (CCPF). Typically, CCPFs service employee populations of 2,500 or more.

*CPF functions*

Many CPF functions are transitioning on-line to the Air Force Personnel Center (AFPC) Directorate of Civilian Personnel Operations PALACE Compass program, AFPC, Randolph AFB, Texas. PALACE Compass now executes many functions previously performed by local CPFs. These functions include external and internal staffing, official personnel folder maintenance, PCS processing, employee work experience history, education coding, and benefits and entitlements (retirements and survivor benefits). To date, more than 73 Air Force bases have transitioned to PALACE Compass. Check with your local CPF for details.

Local CPFs continue to provide services such as grievances, appeals, performance evaluations, injury compensation, unemployment compensation, and adverse actions. Your CPF will also provide labor relations, equal employment opportunity

administration, employee in- and out-processing, resource management, management advisory services, training, and position classification.

*Commanders  
and the CPF*

The CPO and CPF staff provides staff leadership in developing and implementing programs on behalf of the commander. Commanders and supervisors should consult with CPF staff when proposed actions do not clearly fall within the provisions of laws, rules, regulations, or local policy. For details of specific services provided and for organization charts, consult AFI 36-104, *Operating the Civilian Personnel Flight*.

## **Security Forces Squadron**

*Law enforcement*

Security forces squadron (SFS) provides a range of air base defense, force protection, and police services to support commanders and to secure Air Force people, property, and weapons systems. Duties performed by security forces include base entry control, traffic and law enforcement, confinement, weapons systems security, and combat arms training and maintenance. SFS also provides unit security manager training to help commanders safeguard classified information and material through information, personnel, and industrial security programs.

*Security Forces  
organization*

SFS is divided into three flights commanded by a field grade officer who also serves as chief of security forces for the installation.

*Administration  
and reports*

The administration and reports flight provides a planning function for the SFS unit. It manages pass and registration service for people and vehicles and compiles police reports and analyses of crime and other enforcement trends.

*Training*

The training and resources flight provides weapons and equipment for the squadron, administers unit training, manages the military working dog program, and provides small arms training on various weapons for required personnel.

*Operations*

The operations flight provides trained personnel who enforce law and order, supervise vehicular traffic, secure high-priority weapons and munitions, investigate criminal offenses, provide military working dog support, and supervise confinement.

*Incident report*

Commanders should become familiar with the reports and services that SFS provides. SFS will notify commanders or first sergeants of assigned members who are involved as victims or subjects of incidents or complaints reported to SFS. SFS will usually forward an incident or complaint report for action the next day. Facts about the incident may be cited in the SFS law enforcement desk blotter. Senior commanders review the SFS blotter daily.

## **Services Squadron**

### *Responsibilities*

Services squadron is responsible for the operation and administration of officer and enlisted clubs, library services, youth and child development activities, sports programs and fitness centers, indoor and outdoor recreation activities, lodging facilities, dining facilities, community centers, nonappropriated funds (NAF) personnel office, mortuary affairs and honor guard activities, and other small business activities. Also included are the administration and management of all nonappropriated funds to include accounts receivable, accounts payable, and employee benefits programs.

### *Morale, fitness, and readiness*

Maintaining high morale, individual fitness, and an effective state of readiness is essential to accomplishing the Air Force mission. Commanders must ensure that services squadron's programs provide all eligible users a variety of activities, programs, and services that meet their needs. The mission of services squadron becomes much more important in overseas locations since they become the primary source for troops' QOL programs.

## **Supply Squadron**

Supply squadron's mission is to provide effective and efficient supply, equipment, and fuel support to the entire base. Getting to know the intricacies of the supply system will ensure your people have the supplies and tools required to complete their mission.

### *Questions and complaints*

The customer service center provides a single point for customer questions, complaints, and assistance. Processing equipment requests, maintaining custodian receipt listings, and monitoring excess equipment are other functions of this element.

### *Supply training*

The management and procedures element conducts and monitors training within supply as well as training of supply customers. Customer training encompasses equipment custodial duties, supply and customer relationships, basic supply procedures, and the use of management products. This element has management control of the general and systems support division of the Air Force stock fund.

### *War reserve materiel*

The combat operations element has primary responsibility for accounting, monitoring, and storing all war reserve materiel, mission readiness spare packages, and deployment type assets. This element also includes mission capability management and repair cycle management.

## **Transportation Squadron**

Transportation squadron manages and operates the motor vehicle fleet, performs government vehicle maintenance, manages

interbase movement of people, cargo, and household goods, and arranges for materials handling and packaging.

The three primary base-level transportation functions are vehicle operations, vehicle maintenance, and traffic management. Vehicle operations section provides bus and taxi services and driver training. Vehicle maintenance maintains the fleet. Traffic management handles PCS household goods shipments and military surface freight cargo.

### **Commander's Checklist**

- The American Red Cross supports and supplements Air Force activities in matters of morale, health, and welfare of military personnel.
- Area defense counsel ensures the military justice system is fair and is perceived as such.
- Air Force Office of Special Investigations is responsible for investigating espionage, sabotage, counterintelligence, internal security, and major criminal matters.
- The chaplain helps commanders fulfill spiritual and moral needs of unit members.
- The comptroller provides base-level financial support and is the principal financial advisor to the commander and staff.
- Military equal opportunity assists commanders in conducting programs on equal opportunity, human relations, and civilian substance abuse.
- The staff judge advocate's major responsibility is to advise commanders on administering justice.
- The Inspector General is charged with responsive complaint investigation and enforcing fraud, waste, and abuse programs.
- The safety office manages the mishap prevention program for unit commanders and advises commanders and supervisors on safety issues.
- Public affairs office gives timely and accurate information to Air Force members and the public, strengthening Air Force and community relations.
- Logistics plans is the principal advisor to the wing commander on deployment matters and the war reserve materiel program.
- The Command Chief Master Sergeant advises commanders on issues that could negatively affect the enlisted force.
- The medical group provides medical support necessary to ensure the highest combat readiness and effectiveness levels.
- Base civil engineering provides essential facilities maintenance and utilities to support the mission.

- Housing management flight provides support to commanders on family and unaccompanied housing issues.
- Communications squadron acquires, manages, and operates base C<sup>4</sup> systems.
- Contracting squadron assists commanders in acquiring mission-related parts and services.
- Mission support squadron provides quality personnel support to commanders, members, and families.
- Education services provides an education program to military and family members.
- Family support flight helps commanders meet their responsibilities for the health and welfare of military families.
- Military personnel flight is the single manager of base-level personnel systems.
- Civilian personnel flight provides commanders advice and assistance on civilian personnel matters.
- Security forces squadron provides police services to support commanders and secures Air Force people, property, and weapons systems.
- Services squadron is responsible for a variety of activities, programs, and services to ensure the best quality-of-life environment for all.
- Supply squadron provides effective and efficient supply, equipment, and fuel support to the base.
- Transportation squadron manages the operation and maintenance of motor vehicles, interbase movement of people and goods, and arranges handling and packaging of material.



# Administrative Leadership—Military

*Good teamwork requires strong leadership. . . . Leaders must know their people—not as names, but as individuals—and what they can contribute to the organization and its mission. Leaders also must treat their people with dignity, the way all of us would like to be treated. And, leaders must not be afraid to make tough decisions, to accept responsibility. Being a leader requires courage of convictions and a sense of fairness in dealing with people.*

—Gen Ronald R. Fogleman  
Former USAF Chief of Staff

This chapter provides information to help commanders and supervisors in the day-to-day supervision of military members. Included are subjects on rewarding members, rehabilitating those who violate standards, and eliminating those few who repeatedly violate Air Force policy or standards. Commanders must trust in the self-discipline of their troops to maintain the highest standards of conduct and performance, yet reality dictates the necessity of commander involvement. The emphasis here—and the emphasis you must have—is on *quality force*. Commanders and supervisors provide quality assurance for the Air Force—they must have strong working relationships with both the SJA and Mission Support Squadron.

*The Military Commander and the Law*, published by the Air Force Judge Advocate General School, Maxwell Air Force Base, Alabama, is an excellent source document for background information on various administrative and punitive tools discussed in this chapter. You should obtain a copy from your SJA.

In this and the following chapters, a quick-reference box at the beginning of each topic lists the appropriate reference, the office of primary responsibility (OPR), and the office of collateral responsibility (OCR), along with an Internet address, if applicable. In developing the book, we reference the latest Air Force policy directives (AFPD), Air Force instructions (AFI), Air Force pamphlets (AFPAM), and Air Force catalog (AFCAT) citations for each topic. Before using the references in this book as a basis for taking action, you *must* consult the primary source.

### **Individualized Newcomer Treatment and Orientation (INTRO) Program**

REF: AFI 36-2103, *Individualized Newcomer Treatment and Orientation (INTRO) Program*

OPR: Commander, Mission Support Squadron/Military Personnel Flight/Family Support Flight

OCR: Unit sponsor; Unit Command Section and First Sergeant; Public Affairs; and Family Support Flight

Internet: <http://www.afcrossroads.com/> and <http://www.afpubs.hq.af.mil/>

First impressions are lasting ones, especially to new members entering your unit. There are mandatory and voluntary programs to help welcome newcomers. The most important begins with you in the selection of sponsors for new members. Sponsors should be in the same rank or grade and family status as the new member and should attend the FSC sponsorship-training program. The program teaches what sponsorship packages are, how sponsorship letters are written, and what is required of sponsors.

Sponsorship is more than meeting new members at the airport or base gate. It means getting involved with them and their families. Some members require very little help in orienting themselves and their families to a new location, while others, especially overseas, may take 30 days or more. There is no magical time limit on when sponsorship duties end. Allow sponsors time away from their duty sections—sponsorship takes time. Be sure you schedule appointments to meet new arrivals during their first week in the unit. How new members and their families are treated will directly affect their performance during the time they are in your command.

The Air Force has a standardized three-phase INTRO program—sponsorship, orientation, and consolidated newcomer scheduling. The INTRO program creates a welcoming atmosphere, allowing newcomers and their families to adapt rapidly and effectively to their new location.

The base provides a monthly newcomers' orientation. The most recent change to the base INTRO program requires all airmen (E-1 and E-2) arriving from basic training or technical school to attend a 10-day First Term Airmen Orientation course.

### **Commander's Checklist**

- You must take the following actions under AFI 36-2103:
  - Establish and operate a positive, effective unit INTRO program.
  - Appoint a unit INTRO manager.
  - Select individuals for sponsorship duties and ensure they receive training.
  - Send a personalized welcome letter.
- Key elements of the unit INTRO program:
  - Sponsorship
    - Use sponsors who volunteer, and look for similarities in lifestyle when matching sponsors with newcomers.
    - Sponsors need to make themselves available to new members. This is duty time for the sponsor.
    - Ensure that the sponsor letter and package from the FSC contain current information on housing; schools; local employment; recreational activities; maps; and base, unit, and work-center information.
    - Use follow-up surveys or personal interviews (one month later) to assess how well your sponsorship program is working.

- Orientation program
  - Suggested activities in this area include newcomers' briefings, work-center visits, tours, Spouse's Day, and personal meetings with the commander and first sergeant.
  - Topics for you to brief at newcomers' orientation include equal opportunity treatment, human relations, sexual harassment, drug and alcohol abuse, standards of conduct, dependent care, awards and decorations, and unit policies.
  - First sergeants should brief leave and pass policies, dress and personal appearance, dormitory policies, and unique base and unit requirements.
  - MPF performs consolidated newcomer scheduling. You should provide MPF feedback on content and timeliness.

### **Commander's Call**

REF: AFI 35 Series, *Public Affairs*

OPR: Commander

OCR: Public Affairs Office; First Sergeant; and Unit Command Section

Commander's call is an opportunity for direct contact with personnel. It should serve as a medium for exchanging information up and down the chain of command. It establishes you as the primary source for information in the unit. Commander's call should supplement other means of communications. Military members must attend, while civilian employees and spouses are encouraged to attend.

Use commander's call to discuss unit activities, achievements, and goals reached since the last commander's call or planned before the next one. Periodically, discuss the mission/unit fit. Recognize newcomers and departing members. Make the presentation of awards and decorations important. Discuss contemporary problems and issues of the Air Force, base, and unit, as well as local issues. Provide other information directly—not from the *grapevine*.

### **Commander's Checklist**

- When conducting commander's call, do not
  - delegate this forum. This is your showcase for information and visibility.
  - use it to reprimand or give disciplinary lectures to your unit.
- When conducting commander's call, do
  - change the location occasionally.
  - use the imagination and talents of unit personnel to make the session interesting. Keep the emphasis upbeat, creative, and tailored to your unit.
- Come prepared with a balanced agenda (60 minutes) allowing time for discussion, questions, and answers.



- Schedule the times and frequency of commander's call according to unit needs. Consider separate sessions for different grades.
- Dry-run your commander's call, and prepare detailed note cards for review beforehand.
- Answer as many questions as possible, and promise answers to questions that require more research. Follow up at least by the next session.
- Ask yourself if you are wasting your people's time. Would you want to sit through your own commander's call?

## **Awards and Decorations**

REF: AFI 36-2803, *The Air Force Awards and Decorations Program*

OPR: Commander; First Sergeant; and Supervisor

OCR: Mission Support Squadron/Military Personnel Flight/Family Support Flight

Internet: <http://afpubs.hq.af.mil>, AFI 36 series

### **Regulatory Guidance**

Successful commanders recognize that one key to motivating people is paying homage to their accomplishments and efforts. The awards and decorations program fosters morale, incentive, and esprit de corps through prompt public recognition of acts of exceptional bravery, outstanding achievement, or meritorious service performed by individuals or units. AFI 36-2803 describes procedures for submission of decorations.

### **Commander's Checklist**

- Support a strong awards and decorations program. Encourage supervisors to document justification for awarding their people.
- Research the awards available for your military and civilian personnel and your unit.
- Expect supervisors to nominate their workers for awards. Ask, "Why not?"
- Avoid missing deadlines for awards, and closely track submissions to assure proper and timely processing. Establish panels composed of officer, enlisted, and civilian members to determine selections for quarterly, semiannual, and annual awards.
- Review recommendations before endorsement to ensure completeness.
- Appoint a unit awards monitor.
- Be aware that the MPF automatically computes suspense date for recommendation submission based on projected action such as retirement, separation, or reassignment. Do not wait for the computer rip from MPF; initiate the paperwork immediately. You must generate requests for awards for unprojected actions such as achievement or heroism within 60 days of the act or achievement. A word of caution: MPF does not automatically generate a computer rip for these actions—it is your responsibility to make sure these actions do not fall through the cracks.

- Award only deserving people.
  - The recipient must have served honorably during and subsequent to the act of merit or achievement.
- Only one decoration per person is authorized for any specific act or achievement. An award for a single act or achievement does not preclude an award for meritorious service at the end of a tour.
- Publicize recognition through the public affairs branch and local publications.

## **Promotion (Airmen)**

REF: AFI 36-2502, *Airman Promotion Program*; AFI 36-2605, *Air Force Military Personnel Testing System*

OPR: Commander; First Sergeant; and Mission Support Squadron/Military Personnel Flight

OCR: Supervisor; and Air Force promotion policy

The Air Force's promotion policy is to advance airmen who clearly have the potential to shoulder increased responsibility. Due to limited vacancies, promote only the best. You are responsible for a quality enlisted force and should make recommendations for promotion on enlisted performance reports (EPR).

### *Quota determination*

Under the Weighted Airman Promotion System (WAPS), fiscal and statutory constraints, along with the number of projected vacancies in the top five enlisted grades, limit promotion. For example, chief master sergeants (CMSgt) and senior master sergeants (SMSgt) are limited by law to three percent of the enlisted end strength. Because of the limited number of enlisted promotions, you should strongly encourage personnel to fully prepare to be competitive for promotion.

A two-phase process considers the grades SMSgt and CMSgt for promotion. First, each individual's record receives a weighted score based on specific weights assigned to the factors listed below:

<b>Factor</b>	<b>Maximum Points</b>
Supervisory Exam	100
EPR	135
PME	15
Decorations	25
Time in Grade	60
Time in Service	<u>25</u>
<b>Total</b>	<b>360</b>

You should encourage senior noncommissioned officers (SNCO) to pursue professional military education (PME). NCOs selected for promotion to master sergeant (MSgt), SMSgt, or CMSgt must complete in-residence PME before assuming these grades and must

hold the required Air Force specialty code (AFSC) skill level. Additionally, graduation from Senior Noncommissioned Officers Academy (SNCOA) counts as 20 points, and the Command NCO Academy (CNCOA) counts as 15 points toward the weighted score.

Second, for all MSgts and SMSgts, a central promotion evaluation board at the Air Force Personnel Center (AFPC) scores each promotion selection folder using the whole-person concept. Included in this review are the individual's performance, education, breadth of experience, professional competence, combat and achievement record, and leadership ability. All eligible MSgts and SMSgts receive a score notice. The notice shows promotion status, points for weighted factors, total weighted score, board score, and relative standing within the AFSC or chief enlisted manager (CEM) code as well as grouping by board scores of selectees and nonselectees.

You receive and must review a WAPS score notice for each eligible airman. The results show areas in which you can help airmen to advance in grade. WAPS scores cannot be disclosed without the airman's written consent. First sergeants and supervisors are not authorized access to WAPS scores. You have the specific duty to notify airmen of promotion selection or nonselection. You must restrict the use of scores to notification and advisory counseling on the airman's behalf. Competition is intense—the difference between selection and nonselection can be as little as one-sixth of a point.

*Promotion to staff  
sergeant through  
master sergeant*

Airmen in grades E-4 through E-7 also compete under WAPS for promotion. Personnel data elements are collected, validated, and converted to weighted factors. NCOs compete for promotion in their control Air Force specialty code (CAFSC). The WAPS promotion factors are shown below:

<b>Factor</b>	<b>Maximum Points</b>
Specialty Knowledge Test (SKT)	100
Promotion Fitness Exam (PFE)	100
Time in Service	40
Time in Grade	60
Decorations	25
EPR	<u>135</u>
<b>Total</b>	<b>460</b>

*Testing*

When an airman fails to show for scheduled promotion testing, you must decide whether the airman is rescheduled or made ineligible for that testing cycle. If you approve rescheduling, the airman remains eligible for promotion and tests. If you do not approve rescheduling, the airman is ineligible for promotion consideration during that cycle.

Proper preparation for promotion testing is the key to how well one will do on PFE and SKT tests. Each organization is required to maintain a library of study materials as listed in part one of the WAPS catalog for promotion of eligible personnel. The unit WAPS monitor periodically receives a current index of study materials

from the MPF and uses this document to order and dispose of old materials. For most AFSCs, the reference will be AFP 50-34, vol. 1, *Promotion Fitness Examination (PFE) Study Guide*. The career development course (CDC) is used for the SKT. AFP 50-34 is issued to all promotion-eligible personnel upon request. Airmen should refer to the Extension Course Institute (ECI) index of WAPS study materials to ensure that their personal CDCs or those in the unit WAPS library are current for the appropriate testing cycle.

Preparation for testing is an individual effort. Enlisted personnel are not allowed to study together or otherwise share information (written or oral) about the content of WAPS tests. Testing is designed to assess the knowledge attained by each airman eligible for promotion. Because new tests sometimes repeat questions, compromise is possible because of discussions about old tests. You should be alert for group-study activities or possession of test materials. AFI 36-2605 contains procedures for reporting and investigating such incidents. Commercial firms publish study guides for use in studying for promotion. The Air Force does not condone or support such guides. As a group, these guides tend to be of poor quality and of marginal value in preparing for WAPS testing. Commanders can help by encouraging individual study of the Air Force materials listed above, encouraging attendance at PME schools and off-duty education, and ensuring that members working shifts are off duty the night before scheduled testing.

*Stripes for  
exceptional  
performers (STEP)*

The STEP program supplements existing airman promotion programs and is designed to accommodate unique circumstances that, in your judgment, clearly warrant promotion. It is intended to provide a means to promote airmen for compelling, although perhaps nonquantifiable, reasons. Senior commanders who have been delegated STEP selection authority by Headquarters USAF establish internal guidelines, procedures, and nomination formats.

*Promotion to airman  
through senior  
airman*

Airmen are promoted to the rank of airman (AMN) at six months time in grade (TIG) and airman first class (A1C) at 10 months TIG if the commander recommends promotion, the airman is eligible, and the promotion is not in a withheld or deferred status. A1Cs are promoted to senior airman (SrA) when they meet the minimum TIG/time in service (TIS) requirements listed in paragraph 2.2.1 of AFI 36-2502 and possess a three-skill level in their AFSC.

*Promotion  
propriety actions*

You maintain the high caliber of personnel by promoting deserving airmen or withholding or deferring promotions. In warranted cases, you may nonrecommend an airman, resulting in the airman's name being removed from the promotion list. Under certain circumstances, an airman will become automatically ineligible for promotion.

*Withholding  
promotion*

The purpose of withholding is to give you a chance to evaluate unique or unusual circumstances and make a sound promotion decision. Withholding is not used for substandard performance. Commanders have the authority to withhold promotion for up to one year after promotion selection. The withholding period may be longer

if such an extension is in the best interest of the Air Force and if it has the approval of major command, director of personnel or manpower and personnel (MAJCOM, DP or MP). Withholding must be decided before the airman sews on the new rank, and the airman must be ordered not to assume the higher grade. If the order is verbal, it must be put in writing within five working days. Promotion can be withheld from airmen who are in the alcohol-rehabilitation program, weight-management program, under court-martial or civil charges, being investigated for a crime, or currently under a suspended reduction due to an Article 15 action. AFI 36-2502, table 1.2, lists other reasons. In cases of withholding, the date of rank (DOR) reverts to the date the airman would have been promoted.

*Deferring promotions*

The purpose of a deferral is to weigh facts that are troubling about promotion. When clear evidence exists that an NCO is not suited to take on increased responsibilities of the higher grade, removal—not deferral—from the promotion list is the right course of action. You may defer promotion of airman basic (AB) through MSgt for substandard performance or misconduct. MAJCOM has the final word on deferral approval for SMSgt and CMSgt. An airman must receive written notice stating the reasons for the action, the length of the action, and the length of the deferral, which can last up to three months from the promotion date. In cases of deferral, there is no reversion of the DOR; the DOR is effective on the day the stripe is actually sewn on.

*Nonrecommendation  
or removal from the  
selection list*

You can nonrecommend or “redline” an airman, thereby removing him or her from the selection list prior to the effective date of promotion. Common grounds for redlining are (1) poor or declining performance trends, especially in the case of an NCO with a recent overall EPR rating of “two” or less, and (2) recent serious misconduct.

When you redline an airman in the grades of E-4 through E-8, the airman is ineligible to be promoted for a specific promotion cycle. The airman will be eligible for promotion in subsequent promotion cycles unless you initiate another nonrecommendation action.

*Promotion  
ineligibility*

Automatic ineligibility for promotion will occur if an airman is on the control roster; is serving a probationary period under AFI 36-3208, *Military Personnel Records System*, for discharge action; has been convicted by a court-martial; or has been denied reenlistment. Table 1.1 of AFI 36-2502 lists additional reasons.

## **Commander's Checklist**

- Selection for promotion to SMSgt/CMSgt is a two-phase process:
  - (1) Weighted scores are assigned factors and (2) Central promotion evaluation board at AFPC scores selection folders using the *whole-person* concept.
- WAPS is also used to promote SSgt through MSgt by converting personnel data into weighted factors.
- You must ensure the organizational WAPS library is current.

- Refer airmen to ECI's index of WAPS study materials for correct dates of study material.
- Ensure and encourage individual study of WAPS materials.
- The STEP program is designed for you to promote exceptional performers for compelling, thorough, and nonquantifiable reasons.
- A1Cs are promoted to SrA when they meet the minimum TIG/TIS and possess a three-skill level in their AFSC.
- To maintain the high caliber of the force, you may promote deserving airmen or withhold or defer promotions.
- You may withhold promotion for one year after an airman's selection for the next higher grade but before the new rank is assumed.

## **Military Equal Opportunity and Treatment Program**

REF: AFI 36-2706, *Military Equal Opportunity and Treatment Program*  
 OPR: Commander; and First Sergeant  
 OCR: Military Equal Opportunity and Treatment Office

*Zero tolerance of  
all forms of  
discrimination*

The primary objective of the Military Equal Opportunity (MEO) and Treatment Program is to improve mission effectiveness by promoting an environment free from personal, social, or institutional barriers that prevent Air Force members from achieving their highest possible levels of responsibility based on individual merit, fitness, and capability.

You must ensure that all individuals in your organization receive equal treatment. You must communicate that no form of discrimination will be tolerated and evaluate unit officers, NCOs, and supervisors in their support of the MEO program. You must take action to correct the cause of any discriminatory practice.

You are responsible for eliminating on- and off-base discriminatory practices against personnel and their dependents. Discriminatory practices outside the organization are resolved through direct action or the authority of the base commander. The base MEO officer has primary responsibility in this area and can assist you in resolving problems or take direct responsibility for eliminating discriminatory practices.

Sexual harassment, another form of discrimination, has no place in the Air Force and will not be tolerated. The MEO office provides both sexual-harassment and human-relations training. For further information on sexual harassment, see chapter 9, "Sensitive Issues."

You should encourage military members to resolve allegations of discrimination or sexual harassment at the lowest level in their

chain of command. However, members may elect to file a formal or an informal complaint with the MEO office.

### **Commander's Checklist**

- You must communicate that no form of discrimination will be tolerated in the organization. This includes
  - evaluating all officers and NCOs on their support of the MEO program; and
  - correcting the cause of any discrimination practice.
- You should encourage members to use the chain of command, but ensure that all members are aware of the MEO complaint process.

## **Religious Accommodation**

REF: AFI 35-53, *Accommodation of Religious Practices*; AFI 36-2903, *Dress and Personal Appearance of Air Force Personnel*

OPR: Commander

OCR: Chaplain; Staff Judge Advocate; First Sergeant; and Military Equal Opportunity Office

The Air Force has traditionally placed a high value on the free exercise of its members' religious beliefs. As a commander, you will continue to respect religious beliefs and practices of Air Force members in a manner that is consistent for all.

#### *Religious practices*

Religious practices include, but are not limited to, observance of religious holidays or time of day and eating or abstaining from certain foods. You should attempt to accommodate service members' religious practices. However, respect for religious beliefs is not intended to infringe on your authority or responsibility to promote military readiness, unit cohesion, standards, and discipline or the Air Force mission.

In determining whether to grant accommodation of religious practices, you should consider the following factors and others, as deemed appropriate:

1. The mission impact of the request, in terms of unit readiness, individual safety, health, discipline, morale, and cohesion;
2. The importance of the religious request to the requester or his or her family members;
3. The cumulative impact of repeated accommodations of a similar character;
4. Alternative means to meet the requested accommodation; and
5. Previous treatment of the same or similar requests, including requests made for other than religious reasons.

When accommodation is impossible, members must conform to military requirements or face disciplinary action.

*Religious apparel*

Religious apparel is defined as apparel worn as part of the religious faith practiced by the military member. Visibility of the religious apparel is the first determination factor for authorization to wear religious apparel while in uniform. The only specifically authorized visible religious apparel is the Jewish yarmulke. The wearing of other visible religious apparel while in uniform requires that members obtain specific authorization in accordance with AFI 36-2903. Religious apparel that is not visible and does not interfere with the proper wearing of the uniform may be worn while in uniform.

*Commander's actions*

You may refer difficult or unusual questions about accommodation through the chain of command. When requests for accommodation are not in the best interest of the unit and continued conflict between the unit's requirements and the individual's religious practices is apparent, administrative action becomes necessary. You should consult with the SJA, chaplain, and AFI 35-53 for further guidance.

### **Commander's Checklist**

- Generally, you should try to accommodate service members' religious practices unless they infringe on military readiness, unit cohesion, standards, or discipline.
- To determine whether to grant a request for accommodation, you should consider the following:
  - Importance of the military requirement
  - Importance of the practice requested
  - Impact of repeated accommodations of the practice
  - Alternative means to satisfy the request
  - Previous treatment of similar requests
- The only specifically authorized visible apparel is the Jewish yarmulke.
  - AFI 36-2903 sets forth procedures for requesting other visible apparel while in uniform.
  - Religious apparel that is not visible may be worn.
- You should consult AFI 36-2903 for further guidance.

## **Safety**

REF: AFI 31-204, *Air Force Motor Vehicle Traffic Supervision*; AFI 91-202, *The US Air Force Mishap Prevention Program*; AFI 91-301, *Air Force Occupational and Environmental Safety, Fire Protection, and Health (AFOSH) Program*; AFPAM 91-215, *Operational Risk Management (ORM) Guidelines and Tools*

OPR: Commander; and Wing Safety Office

OCR: Base Civil Engineering



*Air Force goals*

In today's Air Force, conserving resources and providing a safe working environment for our people are mandatory. Maintaining combat capability with fewer resources is today's norm. People are key to maintaining a high state of mission readiness. The Air Force ORM program's goal is to enhance mission effectiveness at all levels while preserving assets and safeguarding health and welfare. You must ensure that the principles of ORM are actively implemented and used at all levels. You must implement safety and health programs ensuring that all members receive necessary job and off-duty safety training.

**Commander's Checklist**

- Stress safety at commander's call, supervisory meetings, daily roll call, and through squadron policy letters.
- Develop a strong ORM program.
- Do not allow or accept compromise for unsafe conditions.
  - Develop a strong working relationship with civil engineering; ensure that work order submission is timely, and follow up monthly.
  - Pay attention to dormitories.
- Be sure that the wing or base safety office validates the health of your squadron safety program.
- Be aware that training is vital in setting the right mind-set, thus ensuring a strong safety program.
- Thoroughly investigate mishaps and look for positive corrective actions.

**Leave, Passes, Compensatory Time, and  
Permissive Temporary Duty**

REF: Department of Defense Directive (DODD) 1327.5, *Leave and Liberty*; AFI 36-3003, *Military Leave Program*  
OPR: Commander; First Sergeant; and Supervisor  
OCR: Mission Support Squadron/Military Personnel Flight; and Accounting and Finance

*General leave*

According to DODD 1327.5, all officers in command shall ensure that secondary and nonessential efforts that might prevent an aggressive leave program are not imposed. Breaks from duty are essential to the morale and motivation of Air Force members. You must establish an annual leave program for your unit.

Your basic leave responsibilities include the following:

- Establish annual leave-management programs to encourage people to use leave in accordance with mission requirements.
- Encourage members to take at least 14 continuous days of leave each fiscal year.
- Remind members who schedule “use or lose” leave in August and September that they run the risk of losing leave.
- Enforce Air Force and command-approved leave, pass, and permissive temporary duty (PTDY) controls.
- Ensure that people keep prompt and accurate records of leave and PTDY.
- Ensure that members understand leave, pass, and PTDY policy.
- Project leave schedules annually at the beginning of the fiscal year, update them periodically, and inform members that in order for the schedule to work, they must follow it.
- Document all leave, and establish an audit trail for money spent.
- Seek ARC verification for members requesting emergency leave (you and your first sergeant can authorize emergency leave without ARC verification).

*Commander's  
guidelines for  
conditions of leave*

### **Advance Leave**

Advance leave is chargeable leave that exceeds the current leave balance but that does not exceed the amount of leave members will earn during their remaining period of active duty. You may grant advance leave to resolve emergency or extremely urgent personal problems when members have little or no accrued leave. Advance leave must be limited to 30 days or the number of leave days that could be accrued during the current enlistment—whichever is less. AFPC/DPFSC must approve advance leave requests for over 30 days. Advance leave is a loan and must be paid back.

### **Emergency Leave**

Emergency leave is chargeable leave granted for a personal family emergency that requires the member's presence, usually not to exceed 30 days. Since most family emergencies are time-sensitive, swift action is essential. Advise members to apply for a humanitarian reassignment or separation for hardship reasons if the leave period is more than 60 days. Commanders can approve up to 30 days of emergency leave with authority for an additional 30-day extension. AFPC/DPFSC must approve emergency leave requests that exceed 60 days.

### **Excess Leave**

Excess leave is leave granted over and beyond the amount that may be accrued before discharge or separation. Members are not

entitled to pay and allowances during a period of excess leave (i.e., they are in an unpaid status) nor are they entitled to accrue leave during excess status. Excess leave is granted only for emergencies or in unusual circumstances (e.g., a member pending administrative discharge or awaiting execution of a punitive discharge imposed by a court-martial). Refer to table 6 of AFI 36-3003 for detailed rules on excess leave.

### **Environmental and Morale Leave (EML)**

This is ordinary leave granted to members and their dependents from designated overseas austere, isolated, or environmentally depressed areas for the purpose of priority use of space-required or space-available air transportation to EML destinations. Destination locations offer the closest environmental relief, recreation facilities, and suitable accommodations. Travel time counts as leave for the unfunded EML program; under the funded EML program, leave is not charged for travel time to specially designated locations.

### **Convalescent Leave**

Convalescent leave is an absence not chargeable as leave when a member is under medical care and when part of the treatment prescribed is for recuperation and convalescence. Leave approval is based on written recommendation of the military physician most familiar with the patient's condition; however, you are the approval authority. Allow 42 days of convalescent leave for pregnancies. Convalescent leave for other reasons is limited to 30-day (or less) increments. Additional medical review is required to extend convalescent leave beyond 30 days. Charge ordinary leave for convalescent time when members use civilian medical care at their own expense.

### **Terminal Leave**

This is ordinary leave limited to members' leave balances at the time of separation or retirement. Members should not return to duty after this leave begins.

### **Accrued Leave in Excess of 60 Days**

Members may keep up to 90 days of accrued leave if they cannot use it due to assignment to an operational mission at the national level for at least 60 consecutive days. You must send requests and full justification for excess leave through command channels to the MAJCOM for approval.

### **Passes**

Passes afford time off without charge to leave for unusual reasons such as special recognition or observance of major religious events.

Passes cannot be used to extend leave or in place of or in conjunction with leave. A pass may not exceed four days (96 hours). You may not impose mileage limits during a pass period but can require members to be able to return to duty within certain time limits (based on potential mission requirements).

### **Permissive Temporary Duty**

PTDY is an authorized absence without charge to leave granted to participate in official or semiofficial programs that do not qualify for a funded TDY. Grant PTDY if no expense to the government is involved and if the program in which the member desires to participate will enhance the individual's value to or increase the member's understanding of the Air Force. Commanders who have approval authority must exercise care in evaluating requests to ensure the best interest of the Air Force is served. Table 7 of AFI 36-3003 outlines the situations in which PTDY is authorized.

### **Commander's Checklist**

- Ensure that leave is projected at the beginning of the fiscal year, and update as needed.
- Know the guidelines for granting advance leave (chargeable leave that exceeds the member's current leave balance). Guidelines are as follows:
  - Granted to resolve urgent personal problems
  - Granted if the member will earn the amount of the excess leave during the period of active duty
  - Limited to 30 days or the amount that would be accrued during the present enlistment, whichever is less
  - Approval by AFPC/DPFSC if request is for more than 30 days
- You may grant emergency leave, usually 30 days or less, for a personal emergency that requires the member's presence. Advise the member to apply for humanitarian transfer or separation if the leave period is more than 60 days.
- Know that excess leave (see AFI 36-3003, table 6, for detailed rules) is leave granted in excess of the amount the member will accrue before discharge. Excess leave is granted for emergency purposes only. The member is not entitled to pay or allowances and does not accrue leave during that time.

### **Humanitarian Reassignment/Deferment**

REF: AFI 36-2110, *Assignments*

OPR: Commander; First Sergeant; and Mission Support Squadron/Military Personnel Flight

OCR: Staff Judge Advocate; Military Personnel Flight/Customer Service

Air Force members may apply for humanitarian reassignment or deferment when they experience substantial, continuing personal or family problems that can be relieved by reassigning them to the geographical location of their choice or allowing them to stay in their current assignment. Applications are made to AFPC through the local MPF for either action.

### **Commander's Checklist**

- AFI 36-2110 describes the criteria for humanitarian reassignment or deferment. Certain conditions for humanitarian action must be met.
  - A vacancy must exist at the new duty station if a PCS is involved.
  - Member's presence is essential to resolve or relieve the problem.
  - The problem can be resolved within a 12-month period.
  - The problem must be more severe than normally encountered by comparable Air Force members.
- You should consider hardship discharge as an alternative to reassignment or deferment.
- The determining factor in the approval of a request is the need of the Air Force. Additional considerations may include the morale and effectiveness of the member.
- Common examples of problems favorably considered include, but are not limited to, the following:
  - Recent death of a member's spouse or child
  - Serious mental or physical illness of a member's spouse or child
  - Serious financial problems not caused by member
  - Terminal illness of a family member when death is imminent (within two years)
  - Establishment or operation of an effective child-advocacy program under AFI 40-301, *Family Advocacy*
- Common examples of problems not favorably considered include the following:
  - Threatened separation, divorce action, or the desire to pursue child custody
  - A single parent's desire to make or facilitate either short- or long-term child-care arrangements
  - Psychoneurosis (such as various psychic or mental disorders characterized by special combinations of anxieties, compulsions, obsessions, phobias, and motor or sensory manifestations) resulting from family separation incident to military assignment
  - Climatic conditions or a geographical area that adversely affects a family member's health and the problem is of a recurring nature (for example, asthma or allergies). An exception to this occurs when staying in such an environment would be clearly life threatening.
  - Normal pregnancy, possible miscarriage, breech birth, cesarean section, or RH blood factor
  - The existence of a housing shortage or home-ownership problems
  - Financial problems, including bankruptcy, resulting from overextension of military income

- Financial-management problems related to off-duty employment, the spouse's employment, private business activities, or settling an estate
- Passport or visa problems involving newly acquired dependents in overseas areas
- A desire to provide emotional or domiciliary support to a parent or parent-in-law due to age, nonterminal or chronic illness, or recent death in the family
- A consecutive PCS or deferment based on the continuation of the same circumstances
- A request based on the medical condition of the Air Force member
- A desire to receive preferred medical treatment when adequate treatment is available at the current or projected location
- If the taking of ordinary or emergency leave by the member can solve the problem, humanitarian reassignment or deferment will ordinarily not be approved. If a member makes a timely formal application for deferment of assignment for humanitarian reasons, then the MPF and commander must suspend the reassignment or movement until AFPC sends the final decision on the request.
- Special humanitarian-assignment consideration applies to members with between 15 years and 19 years of active duty with a severe family problem that cannot be resolved within a reasonable period. Members who otherwise meet the humanitarian criteria may apply for a special deferment status until they retire at the 20-year point.

## **Evaluation Reports**

REF: AFI 36-2406, *The Officer and Enlisted Evaluation System*; AFPD 36-24, *Military Evaluations*

OPR: Commander; First Sergeant; Rating Official; and Mission Support Squadron/Military Personnel Flight

OCR: Commander; and Military Personnel Flight

### *Air Force policy*

The purpose of the evaluation program is to provide the Air Force with reliable information on which to base personnel actions. Reports are used for promotion evaluation, assignment selection, and selective retention. You must ensure that all evaluations are accurate, describe actual performance, are of the highest quality, and are on time.

Timely, accurate officer performance reports (OPR) and enlisted performance reports are critical. Late reports not only highlight poor administration, they also imply to the person being rated that the supervisor cannot invest the time or concern to prepare an accurate, timely report.

### *Commander's responsibilities*

Your role is critical in quality force actions. Part of this role is the responsibility to review all OPRs and EPRs for specific reasons. First, it ensures that you are aware of individual performance in

the unit. From a quality-force perspective, this is particularly important if performance is questionable. Second, you may have information unknown by other evaluators that should be documented. Third, some evaluators may be aware of significant information, both good and bad, but fail to document it. Your review and endorsement of reports ensures that the best people receive awards and that those not meeting standards are identified for action.

The Air Force needs to ensure that its members perform at the highest levels, allowing those with the greatest potential to advance to positions of increased responsibility. AFDPD 36-24 establishes policies for evaluators to provide performance feedback. The feedback program requires supervisors to discuss objectives, standards, behavior, and performance with the ratee. AFI 36-2403 requires that AF Form 931, Airman Performance Feedback Worksheet, or AF Form 932, NCO Performance Feedback Worksheet, be completed and placed in the member's personnel information file (PIF). This certifies the feedback session occurred. You must become familiar with AFI 36-2406.

### **Commander's Checklist**

- The purpose of an evaluation is to provide the Air Force reliable information on which to base personnel actions such as
  - promotion,
  - assignment,
  - selective retention, or
  - selective early retirement and reductions in force.
- You must ensure that
  - reports are of high quality, prompt, and accurate;
  - OPRs/EPRs are assigned and tracked;
  - evaluators document information;
  - they evaluate and endorse reports;
  - performance feedback program is established; and
  - AFI 36-2406 is used.

### **Enlisted Professional Military Education**

REF: AFI 36-2301, <i>Professional Military Education</i> ; AFCAT 36-2223, <i>USAF Formal Schools</i> ; AFI 36-2110, <i>Assignments</i>
OPR: Command Chief Master Sergeant; Commander; First Sergeant; and Mission Support Squadron
OCR: Commander; First Sergeant; and Supervisor

*Air Force policy*

Enlisted professional military education (PME) is a three-level program that prepares airmen and NCOs for positions of increased responsibility by broadening their followership, leadership, management, and military professional skills. Airman Leadership School (ALS) is the first enlisted PME school. The midcareer school is NCOA, followed by the SNCOA.

*Regulatory guidance*

AFI 36-2301 and AFCAT 36-2223 describe the courses and eligibility requirements. Eligibility requirements for ALS are SrA with 48 months total active federal military service (TAFMS) or SSgt selectees (required in-residence for SSgt). The midlevel school is NCOA, and the eligibility requirements are E-6 or E-6 selectee (in-residence required for MSgt) selected by MPF based on grade or TIG. SNCOA eligibility requirements are E-8 or E-8 selectee (in-residence required for CMSgt); E-7 selections are made by AFMPC to attend the SNCOA.

### **Commander's Checklist**

- Ensure that eligible personnel attend PME courses.
- Ensure that candidates are eligible and that they are not on the control roster, under investigation, in confinement, or charged with a *UCMJ*-punishable offense.
- Ensure that members meet body fat and aerobic standards per AFI 40-502, *The Weight Management Program* before departing for TDY.
- Interview each person selected to attend NCOA and SNCOA.
- Identify and recommend highly qualified nominees for PME instructor duty. See AFI 36-2110 for criteria.

## **Enlisted Specialty Training**

REF: AFI 36-2201, *Developing, Conducting, and Managing Training*

OPR: Commander

OCR: Training NCO; and Supervisor

You must establish and support a strong enlisted specialty training (EST) program. The Air Force has a dual-channel EST program that includes a knowledge track and a position-qualification track. The knowledge track includes general task knowledge and career knowledge gained through career development courses (CDC), specific technical-study references, and upgrade training leading to a higher skill level. The qualification track involves on-the-job training (OJT) needed to perform in the specific duty position. This training occurs both during and after upgrade training.

### **Commander's Checklist**

- Because enlisted specialty training is fundamental, you must



- instill positive attitudes and motivation toward EST;
- ensure that EST managers are familiar with the administrative details of the program in accordance with AFI 36-2201;
- conduct and evaluate OJT to properly qualify trainees to perform their jobs; and
- ensure the scheduling of exercises to qualify airmen on wartime tasks.
- Some tips for commanders:
  - Set up a unit training section.
  - Have EST managers report directly to you.
  - Schedule regular EST briefings.
  - Demonstrate support of EST by attending unit and base EST meetings, visiting work centers, and periodically assessing your training program.
  - Establish incentives to motivate trainees (letters of recognition, passes, plaques, etc.).
  - Invite and accept help from base EST personnel.

## **Casualty Services Program**

REF: AFI 36-3002, *Casualty Services*

OPR: Commander, Mission Support Squadron/Military Personnel Flight; and Personal Affairs Office

OCR: Chaplain; Mortuary Officer; Security Forces Squadron; and Staff Judge Advocate

### *Air Force policy*

Air Force policy requires that commanders make personal notification to the next of kin of members who become casualties and dispatch letters of condolence or circumstances. The base casualty services representative visits the next of kin after notification to assist with all survivor benefit applications.

### *Regulatory guidance*

AFI 36-3002 gives step-by-step procedures for notification and complete casualty assistance to dependents and survivors. It also provides reporting procedures.

### *Unit commanders' responsibilities*

Commanders, when functioning as notification officers, must be aware of their notification responsibilities. Each notification is unique, and the reaction of the next of kin may be unpredictable. The notification party should include a chaplain and a physician or nurse to provide consolation or medical assistance.

Casualty-notification actions are time critical. Develop specific instructions ensuring that all actions are coordinated between base agencies to quickly notify next of kin, report casualties, and provide assistance. The base command post is the central point of contact

for all casualty matters. Review the Casualty Notification Officer Checklist in AFI 36-3002, attachment 16, before making notification.

### **Commander's Checklist**

- Ensure that all squadron members maintain an up-to-date DD Form 93, Record of Emergency Data. Stress this at your commander's calls and other meetings.
- Never notify the next of kin via telephone or letter. You are the representative of the CSAF and will personally relate the known circumstances and convey appropriate condolences to the next of kin.
- Never release the name and address of a combat casualty to the news media before first obtaining a release from the next of kin and approval from the public affairs office.
- Review AFI 36-3002 before sending letters of condolence or circumstance to next of kin or the family.
- If the deceased member had minor children, consider writing a letter of circumstance to the child or children. AFI 36-3002, attachment 34, provides an example.
- Remember, nothing can substitute for common sense, good judgment, and sensitivity in making a casualty notification.

### **Base Driving Privileges**

REF: AFI 31-24, *Motor Vehicle Traffic Supervision*

OPR: Security Forces; Commander; First Sergeant; and Supervisor

OCR: Staff Judge Advocate; and Security Forces

The base commander extends a conditional privilege to military members and civilians to operate a privately owned vehicle on an Air Force base.

#### *Regulatory guidance*

To be eligible to drive on base, a person must comply with the requirements of AFI 31-24 and all local policies. Failure to comply with these provisions will result in termination and/or suspension of on-base driving privileges and may result in other disciplinary actions. The Air Force takes a tough stand on drunk driving. Any individual determined to be driving under the influence (DUI) will receive a mandatory one-year revocation of base driving privileges. Additionally, you should consult with the SJA for *UCMJ* action. Persons driving on base give their implied consent to submit to a chemical test of their blood, breath, or urine. An individual may refuse to take a chemical test; however, refusal will result in an automatic termination of on-base driving privileges for one year. The base commander can order a blood alcohol test based on probable cause. Convictions for off-base driving offenses may result

in the assessment of traffic points and suspension or revocation of on-base driving privileges.

### **Commander's Checklist**

- Brief your unit about on-base driving privileges.
- Counsel all members on traffic violations.
- Make a remedial driving course mandatory for driving violations.
- Monitor the violator's rehabilitation.
- Identify violators whose driving privileges should be suspended or revoked, and make recommendations to the base commander.
- Enforce mandatory use of seat belts and child restraints.
- Promote anti-DUI programs. Discuss them at commander's calls.
- Place safe-driving information on unit-safety bulletin boards.

## **Dormitory Management**

REF: AFI 32-6005, *Unaccompanied Housing Management and Operations*  
OPR: Commander; and First Sergeant  
OCR: Base Civil Engineering/Family Housing

Unaccompanied-personnel housing (e.g., dormitories) must meet member's expectations for comfort, safety, and security. Professional dormitory management is essential to the well-being of resident military members. MAJCOMs must choose the unit concept (dormitory management is assigned to unit commanders) or the centralized concept (dormitory management is the responsibility of the housing manager). Under the unit concept, you are responsible for day-to-day operation of the dormitories. This includes inspections, occupant assignments, and corrective actions. Units may not have an authorized billet for the position of "dorm manager"; thus, it will have to "come out of hide." Under the centralized concept, the housing office oversees day-to-day operations of the dormitories. In this system, a dormitory manager is permanently assigned (with a special-duty identifier, E-4 and above, and a stabilized tour of 24 months).

### **Commander's Checklist**

- Be an active member of the Quarters Improvement Committee.
- Establish specific guidance on dormitory standards in the form of policy letters, directives, or operating instructions.
- Ensure that dormitory occupants are aware of required standards.
- Keep a balance between group welfare and individual privacy when scheduling inspections.
- Reward and recognize positive behavior; implement programs such as a "Room of the Month" competition, and provide a day's pass to the winner.

- Show that you care about quality of life within your dormitory.
- Check status of repairs. How long does it take to get routine maintenance accomplished?
- Ensure that furniture is in good repair. How long has it been since furniture, carpets, and equipment in day or game rooms were replaced?

### **Airman Reassignment Restrictions**

REF: AFI 36-2110, *Assignments*

OPR: Commander

OCR: Mission Support Squadron/Military Personnel Flight

*Air Force policy*

You must take prompt action to prevent reassignment of airmen not meeting minimum quality standards or whose performance is substandard. A critical review must be conducted of airmen in a mandatory move status to determine applicability of separation versus reassignment. You must prevent selection for assignment until deficiencies no longer exist. The intent is to ensure that the individual's problems are resolved at the location where they arose.

### **Commander's Checklist**

- AFI 36-2110 describes commanders' roles and actions in preventing reassignment of members not meeting Air Force standards.
- AFI 36-2100, paragraph 2.1.23, outlines reasons that prevent reassignment, such as the following:
  - Not recommended for promotion or nonselected for NCO status or reenlistment
  - Not recommended for further upgrade training or removed for failure to progress
  - Weight management issues
  - The subject of a referral or overall "two" evaluation on the most recent EPR
  - Not recommended for overseas duty because of mental instability
  - Drug or alcohol abuse
  - Undergoing control roster observation
  - Awaiting trial, serving a court-martial or Article 15 punishment, or serving a suspended administrative-discharge action
  - Under investigation by the AFOSI or other law-enforcement agency

### **Selective Reenlistment**

REF: AFI 36-2606, *Reenlistment in the United States Air Force*

OPR: Commander; First Sergeant; and Supervisor

OCR: Mission Support Squadron; and Staff Judge Advocate

<i>Objective of the SRP</i>	<p>The objective of the selective reenlistment program (SRP) is to ensure only those airmen who consistently demonstrate the capability and willingness to maintain high professional standards and dedication to adapt to future Air Force mission requirements are allowed the privilege of continued service. Because of constraints on the size and composition of the career force, the number of airmen who can reenlist is limited. The goal is to select and retain a high-quality force of members who have the skills and training required by the Air Force.</p>
<i>Selective reenlistment by category</i>	<p>SRP applies to all first-term, second-term, and career airmen. The authority to select or nonselect airmen for continued service rests with commanders. The commanders' SRP decisions should be based on evidence and consistent with other qualitative recommendations such as promotion. While there is no right to reenlist, decisions to nonselect an airman must be supported with documented rationale.</p> <p>First-term airmen are individually considered for reenlistment once they complete 33 months (four-year enlistee) or 57 months (six-year enlistee) of active duty on their current enlistment. Second-term and career airmen with less than 19 years of TAFMS will be individually considered for reenlistment 13 months prior to estimated time of separation (ETS). Career airmen with 19 or more years of TAFMS are individually considered for reenlistment 13 months prior to completing 20 years of TAFMS; after 20 years they are considered 13 months before ETS.</p>
<i>Commanders' responsibilities</i>	<p>Prior to rendering the SRP decision, commanders must consider the following: supervisor's recommendation; EPR ratings which reflect erratic, declining, or significantly lower performance than other airmen; unfavorable information from any substantiated source suggesting an inability or unwillingness to comply with expected standards of discipline. If applicable, AF Form 1137, UIF Summary, must be reviewed. Commanders should consider the airmen's ability (or lack thereof) to meet training and duty performance levels required by Air Force standards. Commanders must consider that retirement-eligible NCOs continue to contribute full measure or retire, and the skill requirement of eligible first-termers will not influence SRP decisions.</p>
<i>Procedures</i>	<p>When airmen are selected for reenlistment, the commander's signature on the SRP listing constitutes formal selection. Commanders will advise airmen of selection for reenlistment by personal interview. When airmen are nonselected, rationale to support the decision is documented on AF Form 418. Rationale must include sufficient justification supported by substantial evidence, facts, and specific reasons for nonselection. Commanders will advise airmen of nonselection for reenlistment by personal interview. During the interview, the commander will advise the airman of those areas listed in AFI 36-2606, paragraph 1.10.2.</p> <p>Commanders may reconsider airmen for reenlistment at any time if performance has improved to justify SRP reconsideration.</p>

*Nonselection appeal  
process*

Commanders may also reconsider when conditions causing ineligibility for reenlistment are resolved.

A member who is nonselected for continued service may appeal the decision to the appropriate authority. First-term and career airmen with 19 or more years of TAFMS may appeal to the installation commander. The installation commander's decision is final, and no further appeal action is authorized (airmen over 19 years are given a 20-year retirement date). Second-term and career airmen with fewer than 16 years of TAFMS may appeal to the servicing MPF's MAJCOM/DP (may delegate no lower than NAF/DP)—the decision is final, and no further appeal may be initiated. Career airmen with more than 16 years but fewer than 19 years of TAFMS may appeal to the secretary of the Air Force (SAF). Appeals by second-term or career airmen must be forwarded through the SJA for legal sufficiency and the installation commander for recommendation prior to being forwarded to the MAJCOM/DP. The installation commander or servicing MAJCOM/DP may override the immediate commander's decision and select the member for continued service.

You must consult with MPF and the legal office to determine if there are additional consequences of SRP action such as loss of a selective reenlistment bonus (SRB) or career job reservation (CJR).

### **Commander's Checklist**

- You have selection or nonselection authority over all airmen assigned.
- The SRP process is independent of the intent to reenlist or the existence of a skill requirement.
- SRP decisions must be based on
  - EPR ratings,
  - UIFs,
  - supervisor recommendations, and
  - potential duty performance.
- Nonselection will cancel promotion line numbers and may have other collateral effects.
- Before recommending nonselection, you should ensure that the decision is fully documented on AF Form 418.
- The group commander, installation commander, servicing MAJCOM/DP, or SAF, as appropriate, may reverse a decision to nonselect.

### **Family Care Program**

REF: AFI 36-2908, <i>Family Care Plans</i> OPR: Commander; and First Sergeant
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OCR: Command section; Mission Support Squadron/Family Support Flight/Military Personnel Flight; and Staff Judge Advocate

Air Force policy states that all personnel must be available at all times to perform a full range of military duties and assignments. Members must make and maintain family-care arrangements that ensure their availability for all duties and assignments or be subject to punitive action under the *UCMJ* and/or involuntary separation. Advance planning is key to family-care arrangements. Family-care plans must cover all possible short- and long-term situations and be sufficiently detailed and systematic to provide for a smooth, rapid transfer of responsibilities to another individual during the military sponsor's absence.

### **Commander's Checklist**

- Single members and military couples with families present a unique situation; that is, military members carry sole family-care responsibility yet must be available for worldwide duty.
- Single members or military-couple parents must make suitable arrangements for a nonmilitary person to assume custody of children in the event members are unavailable to provide necessary care due to military obligations.
- A person with any of the following relationships to the military member is considered a family member:
  - An unmarried child under 19 years of age
  - An unmarried child 19 years of age or older incapable of self-care
  - A parent or another person related by blood or marriage who depends on the member for over one-half of his or her support, is incapable of self-care, and resides in the household with the member
  - A person living in the same overseas area as the member who bears the relationship above, regardless of place of residence (no requirement to live in the same household)
- All military members accompanied by families and serving in an overseas location covered by a noncombatant evacuation operation (NEO) plan must also make adequate arrangements in advance for evacuation and care of their families. These arrangements must not interfere with the member's obligation to remain in the overseas theater and perform military duties.
- You or the first sergeant will counsel all members on the contents of AFI 36-2908:
  - During in-processing at a new duty assignment
  - Before approval of reenlistment or extension of enlistment
  - Before placement on a mobility roster
  - Upon PCS notification

- Upon confirmation of pregnancy of a military member
- As determined by the commander when such action is necessary
- You must establish procedures to identify single-member sponsors, military couples with children, and members with civilian spouses who have unique dependent situations as they in-process upon arrival at the unit. Further, you or the first sergeant must certify, using AF Form 357, the workability and practicality of any family-care arrangement.
- You should direct a quarterly audit of all AF Form 357s on file in the command section, using the quarterly automated listing of assigned single-member sponsors and military couples with dependents provided by MPF.
- You and your supervisors must establish duty schedules and unit procedures that are equitable for all members.
  - Inequitable or inconsistent scheduling to accommodate dependent-care arrangements can be counterproductive and disruptive to unit morale.
  - You and your supervisors will not make modifications on a long-term or permanent basis to work around unique dependent-care arrangements of selected members.
  - You will take prompt action against personnel who, despite counseling and assistance, fail to make and maintain dependent-care arrangements.
  - AFI 36-2908 contains specific procedures and policies for exemptions and deferments.

### **The Air Force Weight and Body Fat Management Program and the Air Force Fitness Program**

REF: AFD 40-5, *Fitness and Weight Management*; AFI 40-502, *The Weight and Body Fat Management Program*; AFI 40-501, *The Air Force Fitness Program*

OPR: Commander; First Sergeant; and Supervisor

OCR: Medical Services; Staff Judge Advocate; and Mission Support Squadron

The purpose of the Weight and Body Fat Management Program (WBFMP) is to maintain the efficiency, health, and well-being of individuals and to present a proper military image. There must be no doubt that Air Force members live by a common standard and are responsive to military order and discipline. The establishment of a uniform system for weight management for all entails a uniform application of the program by you. AFI 40-502 is the instruction for weight and body-fat management, and AFI 40-501 is the instruction for fitness evaluation in the Air Force.

#### **The Weight and Body Fat Management Program**

*Commander's responsibilities*

You must administer the WBFMP. All personnel will weigh in annually in conjunction with their annual fitness test and as required



by AFI 40-502. Examples of additional requirements include individuals who appear to exceed body-fat standards and individuals who exceed their maximum allowable weight or do not present a professional military appearance, or whenever appropriate. You must appoint a unit WBFMP manager and make physical fitness and recreational activities a part of the unit. You should encourage personnel to follow a conditioning program and diet regimen.

Use AF Form 108, Weight Program Processing, to notify MPF, special actions, when individuals enter and leave the WBFMP or undergo a change of status at non-MILMOD configured units. Units with MILMOD will update the appropriate weight status code (WSC) reflected on the AF Form 108 into the PDS system. When a member departs due to PCS, mail the WBFMP case file to the gaining commander within five duty days after departure. Reschedule weigh-in dates of female personnel based on their menstrual cycles.

*Program details*

The Air Force uses the circumferential-measurement technique (Gulick Measurement Tape) only for body-fat measurement. The base Health and Wellness Center (HAWC) will perform all body-fat measurements. Measurement of the neck circumference and waist (hips for females) along with the member's height is part of the calculation for the body-fat percentage.

Under AFI 40-502, you must take appropriate administrative actions when members fail to meet or maintain standards. AFI 40-502, table 4, lists recommended actions; unsatisfactory progress requires administrative action. You should select at least one administrative action for each unsatisfactory monthly period. Unsatisfactory periods need not be consecutive. You are strongly encouraged to initiate administrative separation action at the fourth unsatisfactory period. Punishment pursuant to Article 15, *UCMJ*, may be used only for a specific violation of the *UCMJ*, such as failure to meet a scheduled weigh-in. Unsatisfactory progress in the WBFMP is not a criminal offense that violates the *UCMJ*. Consider administrative actions such as denial of reenlistment, withholding of promotion, or comments in the OPR or EPR according to the number of unsatisfactory periods noted in table 4, AFI 40-502. After the fourth unsatisfactory period, you are required to advise the installation commander in writing of a decision not to recommend retention of a member. The installation commander has the final decision authority to retain or to process for discharge after the fourth unsatisfactory period. In cases of discharge, use AFI 36-3208, *Administration Separation of Airmen*, for enlisted members and AFI 36-3206, *Administration Discharge Procedures for Commissioned Officers*, for officers.

When an individual is overweight but in your opinion is physically fit and does not appear fat, you may recommend a temporary adjustment of the body fat standard. The installation commander has approval authority. When an individual is over the body-fat limits according to the body-fat percent charts but otherwise appears physically fit, you can consider an upward body-fat standard

adjustment. The only increases considered are those to the body-fat percentage. Refer the member to the base medical facility for evaluation. The recommendation and results of the medical evaluation are sent to the installation commander for consideration. Installation commanders approve upward body-fat standard adjustments for 12-month periods only. Commanders wanting to submit considerations for renewal or continuation of body-fat standard adjustments will submit them with an attached medical recommendation to the installation commander on the 11th month of the current adjustment period. See AFI 40-501, paragraph 13, for additional information concerning body-fat adjustments.

In addition to body-fat adjustments, members may receive medical deferrals from the weight program and the 90-day fitness program. Medical authorities will inform you whether medical deferrals are appropriate. You may, for one six-month period (renewable for another six-month period to a maximum of 12 months), place members into a medical-deferral status. Beyond 12 months, the installation commander has authority over any deferrals. (*Note:* Pregnancy may warrant up to an 18-month deferral from the unit commander.) Members in phase one will be weighed and measured after the deferral expires and entered into phase-two observation period if they meet Air Force body-fat standards; members not meeting these standards remain in phase one. Wing commanders or equivalent-level commanders may allow promotion of enlisted members in temporary medical-deferral status, including medical deferrals due to pregnancy, who are otherwise qualified. Members who are phase-two medical deferrals will remain in that phase and will not be coded temporary medical deferral. Directives allow no weight or body-fat measurements while in medical deferral status. For medical deferrals due to pregnancy, the deferral will expire six months after pregnancy ends regardless of how it ends. Members are removed from the WBFMP at the end of the phase-two observation period even though they were not measured for body fat while in medical-deferral status.

*Phases of  
the program*

The WBFMP is a rehabilitative, phased program. The process starts with the assessment period. Members initially identified as overweight must report to the HAWC within two duty days for measurement. Once they are identified, the unit program manager will schedule individuals within 15 duty days to be medically cleared and ensure they receive initial diet and exercise counseling. During the assessment period, members are ineligible to assume a higher rank (members with a line number will be on promotion-withhold status during this period). They will remain eligible to test for promotion and have tests scored. Once medically cleared, they will move to the three-month exercise and dietary period, which allows them to receive and integrate exercise and dietary education offered from the HAWC. Members must be medically cleared and receive initial exercise and diet education before entry. No early removal from this program is authorized, regardless of members reaching their body-fat standard.

The importance of this stage is to attain behavioral changes through exercise and dietary habits. Members are ineligible to attend officer or enlisted PME. Enlisted members are ineligible to assume a higher grade (line numbers will be withheld), but they can test for promotion. Enlisted members are ineligible to reenlist.

Upon completion of this period, the unit will request the HAWC to accomplish and annotate the body-fat measurement on the AF Form 108 and enter the member into phase one, initial entry, or phase two, six-month observation period. Phase one consists of three areas: phase one, initial entry; phase one, unsatisfactory progress; and phase one, satisfactory progress. During phase one, weight and measurement are done monthly. Members are required to lose 1 percent body fat each month or three pounds for women or five pounds for men. Members not losing the required monthly weight are unsatisfactory, and administrative action is required. Members within Air Force standards enter into phase two for six months. Members who maintain standards for six months should be removed from the WBFMP.

### **The Air Force Fitness Program**

#### *Background information*

The Air Force announced in 1992 the development and implementation of a new aerobics fitness-testing program for military personnel. The program replaced the one-and-one-half-mile run and the three-mile walk program with a stationary bicycle test called the cycle ergometry test. Implementation of cycle-ergometry assessment provided a measure of aerobic capacity or aerobic fitness. On 1 October 1998, an additional assessment designed to measure upper- and lower-body abdominal muscle strength and endurance began. Currently, a new test including cycle-ergometry assessment along with push-ups, modified push-ups, and other activities is undergoing field testing. The bike test generally involves monitoring a person's heart rate while the person pedals a stationary bicycle at a less-than-maximum load (submaximal). A computer calculates the volume of oxygen used per kilogram of weight per minute to determine aerobic fitness. The results help commanders determine the overall fitness of their military personnel.

#### *Program details*

AFI 40-501 controls implementation of the fitness program in the Air Force. The installation commander is responsible for the overall base fitness program and, along with the director, base medical services (DBMS) and unit commanders, ensures that fitness standards are equitably evaluated and maintained. Each unit commander appoints a unit fitness program manager (UFPM) to conduct annual fitness evaluations and to educate personnel on various fitness-related topics.

Fitness tests evaluate cardiovascular fitness by using six to 10 minutes of moderate exercise on a precision stationary bicycle. The bike workload is adjusted to the individual's physical capability but is never raised to a level that will impose fatigue or exhaustion.

Based upon computer calculations using heart-rate measurements, fitness is expressed in oxygen uptake ( $\text{VO}_2$ ) milliliters per kilogram per minute ( $\text{ml/kg-min}$ ). For example, a 49.6  $\text{ml/kg-min}$  reading for a male 30–39 years old equates to a category five (category three being the minimum Air Force fitness standard). See figure 1 of AFI 40-501.

*GET FIT program*

Members who fail to meet minimum fitness standards (category three) enter into the supervised GET FIT program or the unsupervised self-directed fitness improvement (SFIP) program. GET FIT is a 90-day-minimum rehabilitative exercise program and is mandatory for anyone who scores at the category one level during testing. After 90 days the member is retested but will remain in GET FIT or SFIP if standards are not met. The member is retested after another 90 days. If he or she still fails to meet standards or progress satisfactorily, you may take adverse administrative action. If convinced the member is adequately participating in an aerobic conditioning program, you may adjust the fitness standard to a lower level (e.g., category two). AFI 40-501, attachment 5, lists administrative options available to commanders, including administrative demotion and separation.

*SFIP program*

The SFIP program allows you more flexibility to improve the members' fitness levels when they score at the category two level. SFIP is a self-paced rather than supervised program. Members are evaluated every 90 days; those failing to meet standards or make satisfactory progress after six months will be considered for adverse administrative action or fitness-level adjustment. For SFIP and GET FIT programs, satisfactory progress is defined as an increase of 5  $\text{ml/kg-min}$  during the first 90-day exercise period and an increase of 3  $\text{ml/kg-min}$  at each subsequent 90-day period until category three standards are achieved.

Various activities affect the results of the test such as taking strenuous exercise within 10 hours of testing, not getting enough sleep, wearing tight clothing, eating a heavy meal or consuming caffeine within four hours of testing, drinking alcohol, smoking, and taking medications. You should ensure that all members scheduled for testing follow the strict guidelines in AFI 40-502 before testing.

*Commander's options*

Nonjudicial punishment (NJP) may not be imposed solely for the condition of being unfit. There must be violation of a specific *UCMJ* article (e.g., "failure to go" to an exercise appointment). Some major commands have indicated a desire to set standards higher than category three. While permissible, no administrative action may be taken against military members unless they fail to meet the Air Force standard of category three.

## **Commander's Checklist**

- The purpose of the fitness program is to maintain the efficiency, health, and military appearance of Air Force members.

- You administer the WBFMP.
  - AFI 40-502 is the controlling instruction.
  - You appoint a WMP manager.
  - You should encourage sports, recreation, conditioning, and diet regimen.
- The Air Force began a new fitness program in 1992.
  - It implements aerobics testing for all military personnel.
  - AFI 40-501, figure 1, shows fitness categories.
- There are two fitness programs:
  - GET FIT (supervised)
  - SFIP (self-directed, unsupervised)
- Judicial punishment is not taken against military members solely for being physically unfit.
- No administrative action can be taken unless the member fails to meet the Air Force category three standard.

## **Financial Responsibility**

REF: AFI 36-2906, *Personal Financial Responsibility*  
 OPR: Commander; First Sergeant; and Supervisor  
 OCR: Comptroller; Mission Support Squadron/Family Support Flight; and Staff Judge Advocate

Air Force members will pay their just financial obligations in a proper and timely manner. You are responsible for counseling members regarding financial responsibility. The Air Force is without legal authority to order a member to pay a private debt; thus, the enforcement of private obligations remains a matter for civil authorities. However, to maintain good order and discipline, administrative or punitive action may be necessary, especially with repeated or intentional violations.

### **Commander's Checklist**

- When you receive a debt complaint from MPF, you will
  - review and assess the financial responsibility complaint;
  - advise the member and the complainant of Air Force policy, including the fact that the Air Force has no authority to arbitrate disputed cases of nonsupport or personal indebtedness;
  - attempt to respond to complainant within 15 days, if possible;
  - not provide information to the complainant regarding administrative or disciplinary action contemplated or taken against the member;
  - refer members who demonstrate financial irresponsibility to the Family Support Flight's Personal Financial Management Program; and

- obtain the advice and coordination of SJA, MPF, finance officer, and IG on high-level inquiries.
- In cases alleging paternity take the following steps:
  - Counsel the member concerning the allegations.
  - If the member denies paternity, inform the claimant accordingly and advise that the Air Force does not have authority to adjudicate paternity claims.
  - If the member acknowledges paternity, advise the member of his financial obligations. Refer the member to MPF for guidance on with-dependents-rate financial support and dependent benefits for the child. Refer the member to the base legal office for advice on his legal rights and obligations to the child. Refer the member to the Air Force Aid Society's Babies Cost Bundles program.
- In cases of alleged personal financial indebtedness of a civil nature:
  - advise the claimant that the Air Force has no authority to resolve disputed claims or require members to pay a private debt without a civil judgment, and,
  - for complaints supported by a court judgment, refer claimant to the appropriate Defense Finance and Accounting Service Center or Department of Defense (DOD) agency.

## **Drug and Alcohol Abuse**

REF: AFI 44-121, *Alcohol and Drug Abuse Prevention and Treatment (ADAPT) Program*

OPR: Commander; First Sergeant; Staff Judge Advocate; Chaplain; Air Force Office of Special Investigations; Security Forces Squadron; Mission Support Squadron; and Area Defense Counsel

### *Air Force policy*

You are responsible for substance abuse (SA) issues. The integration of SA prevention, treatment, policy, and programs into every facet of Air Force core values and quality force management clearly shows that SA is incompatible with Air Force standards.

The Air Force recognizes alcoholism as a preventable, progressive, treatable, and noncompensable disease that affects the entire family. Air Force policy on alcohol abuse is to prevent alcohol abuse and alcoholism among its personnel and their family members; to try to restore to full-duty status persons with problems attributed to alcohol abuse; and to ensure the humane management and administrative disposition of those who cannot be or do not remain restored.

- Document specific instances of substandard duty performance or misconduct.
- Ensure that blood alcohol and urine testing is promptly accomplished.
- Consult with medical and ADAPT staff when substandard performance or misconduct is suspected to be drug- or alcohol-abuse related.

- Consult with CPF on civilian employees whose performance, discipline, or conduct is substandard and suspected to result from drug or alcohol abuse.

## **Drug Testing/Urinalysis Program**

REF: AFI 44-120, *Drug Abuse Testing Program*; *Military Rules of Evidence* (MRE) 311 through 317

OPR: Commander; Supervisor; Air Force Alcohol and Drug Abuse Prevention and Treatment Program; and Medical Urine Testing Program Monitor

OCR: Staff Judge Advocate; and Area Defense Counsel

The urinalysis program utilizes state-of-the-art technology to detect and deter drug use by Air Force members. Positive urinalysis results can be the basis for administrative and *UCMJ* (court-martial or Article 15) action. Command coordination with legal and law-enforcement agencies, as well as others, is required for an effective urinalysis program.

Urinalysis testing is an effective deterrent only when it has the potential to reach every Air Force member. You have the flexibility to select the most appropriate testing procedure for your unit. Generally, inspection testing will be the predominant method used, supplemented by commander-directed tests and tests based upon probable cause.

*Testing selection  
methods*

The following is a brief explanation of testing methods available to you:

1. **Inspection Testing:** An inspection under MRE 313 (b) may be conducted as a unit sweep or performed randomly on segments of a squadron, unit, duty section, dormitory, or other organization. Inspections are used to determine proper command function; standards of readiness; and the presence, fitness, and readiness of personnel. Inspections do not have to encompass an entire squadron, unit, duty section, or dormitory, but commanders may not single out specific individuals or small groups.

2. **Probable-Cause Testing:** A probable-cause search and seizure is ordered by you when you believe that a member has ingested drugs. Probable cause simply means there is reasonable belief that illegal drugs are present or will be found in an individual's urine. You must consult with SJA before taking this action.

3. **Command-Directed Testing:** You refer a military member for testing when there is reasonable suspicion of drug abuse that does not amount to probable cause or when it is conducted in conjunction with a member's participation in a DOD drug

treatment and rehabilitation program. A command-directed examination is conducted to determine a member's competency for duty and need for counseling, rehabilitation, or other medical treatment. Because of limitations on your ability to impose administrative or punitive sanctions based on a command-directed case, you should seek the SJA's advice before ordering such tests. You should seek the military member's consent before trying to impose either a probable-cause or command-directed test and must inform the individual that giving consent is voluntary. Article 31 *UCMJ* rights are not required before requesting consent: reading the rights and receiving consent is the best evidence of a member's voluntary consent. If the member consents to be tested, results are usable for administrative or punitive actions.

*Urinalysis testing  
procedures*

The following procedures generally apply when a military member tests for drugs:

1. One of the three methods above is used.
2. Urine samples are collected, stored, shipped, and tested using forensic techniques and equipment.
3. Regulations require controlled standardized collection, storage, and shipment procedures at the base level.
4. All samples are tested at forensic laboratories.
5. Air Force samples are tested at Brooks AFB, Texas.
6. All testing labs use a DOD-prescribed combination of analytic techniques.
7. Samples that do not test positive above a DOD-prescribed minimum at any stage, should be discarded.
8. Only samples testing positive above the DOD-prescribed minimum on every test, should be reported.
9. All samples for cocaine and marijuana are tested. Testing for other drugs such as amphetamines occurs on a rotating or as-needed basis.

You should read the provisions of AFI 44-120 and consult with SJA before implementing drug-abuse testing.

### **Commander's Checklist**

- Brief the consequences of drug abuse at your commander's call.
- Invite the SJA to speak at your commander's call.
- Ensure that the unit-testing schedule is unpredictable.
- Ensure that everyone under your command is subject to testing.
- Prepare a letter when directing each inspection, and restrict knowledge of the test to a "need to know" basis.
- Personnel issues:
  - Coordinate testing with ADAPT.
  - Coordinate testing with the medical facility.



- Coordinate testing with the SJA.
- Choose observers carefully and ensure that enough observers are present for each task. Arrange for relief observers, if necessary, to meet unexpected requirements.
- Site:
  - Visit the site during testing.
  - Ensure that measures are taken to protect the security of all samples during collection and transportation to the facility.
  - Ensure that the test site is free from traffic and insulated from personnel who are not being tested.
  - Ensure that the test site is readily accessible to female and male latrines.
- Following the inspection:
  - Review the alpha roster and ensure that members not reporting to inspection are tested as soon as possible.
  - Contact the SJA to initiate disciplinary action on positive test results.

## **Child Abuse, Child Neglect, and Spouse Abuse**

REF: AFPD 40-3, *Family Advocacy Program*; and AFI 40-301, *Family Advocacy Program*

OPR: Commander; First Sergeant; Supervisor; Installation Commander; Director, Medical Services; and Family Advocacy Officer

OCR: Staff Judge Advocate; Mission Support Squadron/Military Personnel Flight/ Family Support Flight; Chaplain; Air Force Drug Abuse Prevention and Treatment Program; Services Squadron/Child Development Flight/Youth Services Flight; DOD or civilian school system; and American Red Cross

### *Air Force policy*

Air Force policy is to prevent or minimize the impact of child abuse, child neglect, and spouse abuse and their attendant problems. The Air Force attempts to identify abuse and neglect, document such cases, assess the situation, and provide treatment to the family. The Air Force takes administrative or judicial action in all documented cases. You and Air Force supervisors must be familiar with rehabilitative procedures and disciplinary policies relating to child abuse or neglect and spouse abuse, providing counseling and referral assistance as required. You should review the duty-assignment status of all military members responsible for an abused or neglected child or abused spouse in order to determine whether current duties may be contributing to the situation.

### *Family Advocacy Program (Life Skills)*

The Family Advocacy Program's (FAP) mission is to promote mission effectiveness by enhancing the health, welfare, and morale of Air Force families. FAP consists of three components: outreach,

exceptional family member program (EFMP), and family maltreatment intervention.

*The Family  
Advocacy Committee*

The director of base medical services (DBMS) chairs the Family Advocacy Committee (FAC) and is responsible for each of the three FAP components. The installation commander is responsible for implementation of the FAP. The membership of the FAC panel is outlined AFI 40-301.

*Family  
Advocacy Officer*

- The Family Advocacy Officer (FAO) is the action officer for FAP and chairs the Family Maltreatment Case Management Team (FMCMT). All Air Force personnel, military or civilian, must report all incidents of suspected child abuse. Generally, the report is made to the FAO, who will notify AFOSI.
- AFOSI is responsible for investigating all incidents of maltreatment.
- AFOSI accesses the defense central index of investigations, which serves as a register of substantiated and suspected cases of abuse.
- Investigation by AFOSI preserves command prerogatives to take appropriate administrative or judicial actions.

Notification of suspected abuse cases comes from many sources such as Security Force's blotter, coworkers, medical-care providers, child-care providers, and anonymous calls. The identity of the person making the notification is kept confidential by the FAO and is not released to the family allegedly involved. The FAO reviews family medical records and prepares a family record and evaluation. The FAO notifies local child-protective services agencies in accordance with state or local laws but must coordinate with the SJA before notifying local agencies. The SJA will consult with AFOSI, DBMS, and other appropriate staff members in assessing whether and when notification should be made.

*FMCMT*

The FMCMT is a working group of the FAC and directs provision and management of services designed to identify, report, assess, and treat all types of maltreatment cases. The FMCMT meets monthly or at the call of the FAO. The FAC determines the membership of the FMCMT. Duties of the FMCMT include assessment of all reported cases, prompt clinical evaluation of victims, and documentation of cases of abuse or neglect after investigation. Additionally, it establishes unit commander's assistance in treatment plans for the victim and the abuser and reviews all open cases quarterly to ensure that the case management plan is current and correct. The FMCMT coordinates with local human-service agencies for treatment and services beyond Air Force resources and ensures that members currently in treatment are not reassigned or placed on extended TDY. Enrollment in the program is not a bar to promotion or promotion consideration. You or your first sergeant must attend if a member of your unit is having a case discussed at the FMCMT.

Air Force installations have several cases each year of alleged child abuse or neglect through parental abandonment (i.e., leaving children alone in military family housing without adult supervision). Some installations have attempted to address this issue by having the FAC draft guidelines to assist parents in assessing whether a child is mature enough to be unattended. It is important to remember that the FAC only proposes guidelines.

### **Commander's Checklist**

- Always report to the DBMS or FAO any suspected cases of child or spouse abuse or neglect, regardless of the source of information.
- Do not attempt to investigate suspected cases yourself or to counsel the individual involved. Instead, request DBMS or FAO assistance to determine the validity of the report and circumstances of the case.
- Do not discuss the case with anyone except the first sergeant when an enlisted member is involved.
- Do not get emotionally involved. After a thorough investigation, base your actions upon the recommendations of the FAO, DBMS, or SJA.
- Consult AFI 40-301 if you have specific questions about policies and procedures involved in abuse or neglect cases.
- Consult AFI 31-501 for guidance concerning security clearances, access to classified information, and unescorted access into restricted areas.
- Review the duty assignment of all unit members responsible for an abused spouse or abused or neglected child to determine if current duties may be contributing to the situation.

## **Support of Dependents**

REF: AFI 36-2906, *Personal Financial Responsibility*  
OPR: Commander; and First Sergeant  
OCR: Staff Judge Advocate; Mission Support Squadron; and Chaplain

Air Force members will pay their financial obligations in a proper and timely manner. Direct or indirect dependent support is a primary element of an individual's personal financial obligation. Failure to make up arrears in support is grounds for administrative or disciplinary action.

### **Commander's Checklist**

- Air Force members will comply with the financial-support provisions of a court order or written support agreement.
  - If the validity of the order (or agreement) is questioned, the issue must be resolved by the parties or civil courts.

- You do not arbitrate such disputes and have no authority to unilaterally deduct money for dependents.
- The Air Force expects members to provide adequate support for dependents in the absence of a court order or agreement. Base the amount of support on dependent needs and the member's ability to pay.
- Examples of "in kind" support (as opposed to pecuniary payments) include payment for mortgage or rent, car, medical bills, and school tuition.
- Proof of support is generally not required, but if the member is receiving basic allowance for quarters at the with-dependent rate and a nonsupport complaint is received, such proof may be requested by you. Failure to provide proof can result in termination of quarters allowance at the with-dependent rate.
- Military members and their dependents (including ex-spouses on behalf of a member's dependent child) are entitled to military legal assistance and should be encouraged to seek such advice when needed.
- Desertion or other misconduct by the spouse or former spouse does not affect the member's obligation to provide dependent support.

### **Information—Disclosure of Air Force Records**

REF: AFI 37-131, *Air Force Freedom of Information Act Program*; AFI 37-132, *Air Force Privacy Act Program*  
 OPR: Commander; and Information Management (IM)  
 OCR: Staff Judge Advocate

The Air Force encourages the release of information and records to the general public under mandatory guidelines set forth in the Freedom of Information Act (FOIA), 5 U.S.C. 552, and the Privacy Act (PA) of 1974, 5 U.S.C. 552a. Both statutes have short time limits for processing requests for information.

#### *Freedom of Information Act*

FOIA is a disclosure statute permitting access to information. It generally provides a right of access to federal executive-agency information except records (or portions thereof) that are protected from disclosure by one of the FOIA exemptions. It applies to all of DOD. Even though an exemption to disclosure might apply under FOIA, it is DOD policy to disclose all records, even if exempt, as long as there is no risk to government interests.

There is a statutory 10-day processing time limit on FOIA requests. Commanders who receive a request for information from any record should immediately contact IM and start to process the request as outlined in AFI 37-131. The authority to deny disclosure of records to the public exists only at MAJCOM or higher levels.

#### *Privacy Act*

PA, as implemented by AFI 37-132, counterbalances FOIA by providing basic safeguards in the collection, use, and dissemination

of identifying personal information relating to individuals. PA allows individuals to see their own records and correct factual mistakes in them. It limits information collected about an individual to that needed to protect privacy by restricting access by persons other than the subject of the record. The act precludes federal agencies from having a secret system of records on individuals, while affording remedies through the courts for noncompliance with the PA, which applies only to activities of the federal executive. State government, banks, and businesses do not fall within its scope.

As a general rule, information such as a social security account number, home address, home phone number, medical records, aptitude tests, or performance reports may not be released to a requester unless the individual affected authorizes such release in writing. You must not release personal information outside the Air Force until the request has been coordinated with IM and SJA. PA provides for possible criminal conviction and fines against anyone who willfully or knowingly violates any provision of the act, as well as a suit against the Air Force itself.

### **Commander's Checklist**

- The FOIA provides access to federal executive-agency information, unless it is protected from disclosure by FOIA exemptions.
  - DOD policy is to disclose all records not jeopardizing the interests of the government.
  - There is a 10-day processing time limit on FOIA requests.
  - Authority to deny disclosure exists at MAJCOM level and above.
- PA provides basic safeguards in collecting, using, and disseminating personal information on individuals.
  - The act applies only to activities of federal agencies.
  - It provides for criminal conviction and fines against those who violate the act.
  - You must not release personal information without first coordinating with IM and SJA.
  - You must brief all personnel on FOIA and PA.

### **Line of Duty and Misconduct Determinations**

REF: 38 U.S.C. 105, AFI 36-2910, <i>Line of Duty (Misconduct) Determination</i>
OPR: Commander; Medical Services; and Mission Support Squadron/Special Actions
OCR: Medical Officer; Staff Judge Advocate; and Mission Support Squadron

*Background  
information*

Federal laws require a determination of whether certain diseases, injuries, or death suffered by military members are incurred while

in a line-of-duty (LOD) status or as a result of a member's own misconduct. The determination is important to resolve whether certain statutory rights or benefits that accrue to military members, dependents, or survivors will be provided. Air Force LOD determinations are binding only for awarding benefits administered by the Air Force. They are not binding on other federal agencies.

Adverse findings as related to LOD and misconduct are not applied as a punitive measure or as an example to the command. An LOD proceeding is neither a substitute for, nor a bar to, such disciplinary action as warranted. Active duty Air Force members cannot be required to pay for medical expenses already provided by the Air Force because of an LOD determination.

Congress set up the standard of LOD for purposes of laws administered by the Veterans Administration at 38 U.S.C. 105. AFI 36-2910 implements the statutory requirements for the Air Force.

*Line of duty  
determinations*

LOD investigations involve two separate determinations—LOD status and misconduct status. There is little connection between the two except when an injury or disease is determined to be the result of misconduct; then, it is automatically not in LOD.

*When is LOD  
determination  
required?*

An LOD and misconduct determination is required when a member, whether hospitalized or not, has a disease or injury that results in the inability to perform military duties for more than 24 hours. Determination is also necessary when there is the likelihood of permanent disability or death; when there are surviving dependents; or whenever there is a question about the known facts of a case.

The four LOD findings are as follows:

- In line of duty: Presumed unless absent without leave or misconduct
- Existed prior to service (EPTS): LOD is not applicable when there is a medical diagnosis that gives clear evidence that a disease or injury or the underlying condition causing it existed before the member's entry into military service and was not aggravated by service
- Not in line of duty, not due to own misconduct: disease, injury, or death was incurred during a period of absence without authority (AWOA) or, by a regular Air Force member, Air Force Reserve, or Air Guard member, during a material deviation from an authorized travel route, but was not proximately caused by the member's own misconduct
- Not in line of duty, due to own misconduct: Disease, injury, or death proximately caused by member's own misconduct regardless of whether or not member was AWOL

*Presumptions,  
definitions, and  
evidentiary  
standards*

The LOD instruction sets up a rebuttable presumption that all diseases or injuries suffered in service are in LOD. This determination is made unless a preponderance of the evidence supports the finding that the disease or injury EPTS, occurred while the member was AWOL, or was proximately caused by the member's own misconduct.

The instruction also presumes that members are mentally responsible for their acts unless there is contrary evidence. Members may not be held responsible for their misconduct and its foreseeable consequences if, because of mental disease or defect, they lack substantial capacity either to appreciate the wrongfulness of the conduct or to conform their conduct to the requirements of law. Mental disease or defect does not include, for example, mental impairment because of knowingly ingesting a hallucinogen.

*Key definitions*

The following are some key definitions of misconduct, proximate cause, and preponderance of the evidence:

**Misconduct:** Intentional conduct that is improper—willful neglect (acts of omission or commission that evidence a reckless or wanton disregard for their attendant consequences, [i.e., gross negligence]).

**Proximate Cause:** The cause that, in a natural and continuous sequence unbroken by an independent and unforeseeable new cause, results in the disease, injury, or death and without which it would not have occurred; the primary moving cause or predominating cause; the connecting relationship between misconduct and the disease, injury, or death.

**Preponderance of the Evidence:** The greater weight of credible evidence—the evidence that produces the stronger impression and is more convincing as to its truth when weighed against the evidence in opposition.

*Evidentiary standards*

Evidence must be used for LOD and misconduct determinations, both direct and indirect. Direct evidence is that based on actual knowledge or observation of witnesses. Indirect evidence is facts or statements from which reasonable inferences, deductions, and conclusions may be drawn to establish an unobserved fact, knowledge, or state of mind. There is no distinction between the value of direct and indirect evidence.

*Types of LOD determinations*

There are three types of procedures used to determine LOD status: Administrative determinations are made in limited circumstances by a medical officer alone, and an entry is made in the member's medical record. Informal determinations are ones made by the unit commander when a medical officer cannot make the determination, the member was not AWOL, or disease or injury was not due to member's own misconduct. In these cases, you make LOD determination and notification if the finding is supported by clear and convincing evidence. Formal determinations are made when neither an administrative nor an informal determination can be made or when deemed necessary to protect the interests of the member or the United States. Consult AFI 36-2910 for further guidance on processing LOD cases.

**Commander's Checklist**

- Federal laws require a determination of whether disease, injury, or death of a member occurred in the LOD.
- Air Force LOD determinations are not binding on other federal agencies.

- An LOD proceeding is neither a bar nor a substitute for warranted discipline.
- Congress set up the standard of LOD in 38 U.S.C. 105.
- LOD investigations involve two separate determinations:
  - LOD status, and
  - Misconduct status.
- LOD investigations are required when a member has a disease or injury that results in one of the following:
  - Inability to perform military duties for 24 hours.
  - Likelihood of permanent disability or death, surviving dependents, or a question about known facts of the case.
- Types of LOD determinations:
  - Administrative.
  - Informal.
  - Formal.
- Possible LOD determinations:
  - In the LOD.
  - Existed prior to service.
  - Not in LOD, not due to own misconduct.
  - Not in LOD, due to own misconduct.
- Consult AFI 36-2910 for further guidance on LOD cases.
- AFI 36-2910 presumes that all service-connected diseases and injuries are in LOD status.
  - The AFI presumes that members are mentally responsible for their own acts unless there is contrary evidence.
  - Members are not responsible if they lack the mental capacity to conform their conduct to the requirements of the law.
  - This does not include mental impairment such as that caused by knowingly ingesting a hallucinogen.
- Key terms in LOD determination are *misconduct*, *proximate cause*, and *preponderance of the evidence*.

## **Investigations and Inquiries**

REF: AFI 90-301, *Inspector General Complaints; Manual for Courts-Martial, United States* (MCM) (2000 ed.)

OPR: Commander; and Inspector General

OCR: Staff Judge Advocate



*Inherent authority  
to investigate*

Commanders possess inherent authority to investigate matters or incidents under their jurisdiction. This authority is incident to command. Air Force policy is that an echelon of command capable of conducting a complete, impartial, and unbiased investigation will conduct inquiries and investigations. Reprisal against an individual for making a complaint is prohibited.

*Investigations of  
minor offenses*

You are responsible under the *MCM* and *UCMJ* for making thorough and impartial investigations for minor offenses committed by members under your command. Security Forces or AFOSI will investigate most major violations of the *UCMJ*. If you become aware of a minor incident within the unit, then an informal inquiry should be conducted to determine all facts relating to the offense. “Hearsay” information is not reliable. If possible, obtain written statements from firsthand witnesses showing all elements of the suspected offense—acts, intent, value, time, places, and so forth. An investigation is never complete until you attempt to interview the suspect. Remember, you must inform military suspects of their rights in accordance with Article 31, *UCMJ* before interviewing. You must consult with Military Justice or SJA to obtain advice on conducting investigations and to determine what actions are appropriate once the investigation is completed.

You will conduct investigations and inquiries pursuant to a specific regulation. Examples include reports of survey (ROS), LOD, homosexual conduct, and accident investigations. Commanders can investigate under their inherent authority when a specific regulation does not apply; AFI 90-301 provides excellent guidance on how to conduct inquiries or investigations of this type.

*Types of  
administrative  
inquiries and  
investigations*

There are various types of administrative inquiries and investigations, including:

1. Those citing AFI 90-301 as authority fall under investigations and inquiries (resulting from inspector general [IG] complaints, directed or initiated within IG channels, and those conducted by an IG).

2. Those governed by other regulations:

- AFI 51-503, *Aircraft, Missile, Nuclear, and Space Accidents*
- AFI 91-204, *Safety Investigations and Reports*
- AFI 71-101, vol. 1, *Criminal Investigations*
- AFI 31-206, *Security Forces Investigations Program*
- Investigations conducted under Article 138, *UCMJ*, pursuant to AFI 51-904, *Complaints of Wrong Under Article 138 UCMJ*
- AFI 36-2910, *Line of Duty (Misconduct) Determination*
- AFI 36-1203, *Administrative Grievance System*
- AFI 36-2706, *Military EOT Program*

Virtually all other inquiries and investigations fall within your inherent authority of command.

## Procedures

A single investigating officer often conducts inquiries and investigations. The distinction between an “inquiry” and an “investigation” follows:

*Inquiry:* An inquiry is a determination of facts on matters not usually complex or serious and handled through routine channels. You may summarize the report.

*Investigation:* An investigation looks into serious, complex matters requiring a determination of extensive facts. Investigations conducted under your inherent authority should include a written report—normally, supported by exhibits and sworn witness testimony.

You should be aware that many investigations and inquiries involve privileged or confidential information under the Privacy Act. Additionally, the IG or other officials may further control the release of information. Advise witnesses of the nature of the investigation and, if applicable, the right to counsel. Witnesses may refuse to answer questions only by invoking Article 31 of the *UCMJ* (military members) or the Fifth Amendment (civilians). If the investigation is due to suspected criminal activity, Security Forces or AFOSI must conduct the investigation. Always consult with the SJA before directing any inquiry or investigation.

## Commander's Checklist

- You have the inherent authority to investigate matters and incidents under your jurisdiction.
  - Security Forces or AFOSI will investigate major violations of the *UCMJ*.
  - Consult with the SJA before investigating a minor offense.
  - AFI 90-301 provides excellent guidance for conducting an inquiry or investigation. Do not cite AFI 90-301 as your authority.
- Types of administrative inquiries and investigations:
  - Those citing AFI 90-301.
  - Those governed by other instructions.
- Understand the distinction between an inquiry and an investigation:
  - An inquiry determines facts on simple matters, uses summary, and goes through routine channels.
  - An investigation is conducted for serious, complex matters and extensive facts and when written reports and sworn testimony are required.
- Inquiries and inspections may involve privileged information.
  - Advise witnesses of their right to counsel.
  - Advise witnesses that they may invoke Article 31, *UCMJ*, or the Fifth Amendment.
  - Allow Security Forces or AFOSI to investigate suspected criminal activity.

## **Nuclear Weapons Personnel Reliability Program**

REF: DOD Directive 5210.42, AFI 36-2104, *Nuclear Weapons Personnel Reliability Program*  
OPR: Commander  
OCR: Director, Base Medical Services; Mission Support Squadron; and Weapons Safety Officer

### *Air Force policy*

Individuals working with sensitive nuclear weapons or high-risk duties associated with nuclear weapons must meet a higher standard of reliability. The nuclear weapons personnel reliability program (PRP) screens and continually evaluates personnel selected for nuclear weapons duties. AFI 36-2104 describes how to administer the program for active duty members working with nuclear weapons or high-risk duties.

### *Unit commander's responsibilities*

You or other certifying officials judge a person's mental capacity and physical ability to respond in a reasonable, stable manner when performing nuclear-associated duties. Although several agencies have supporting roles, you are responsible for the unit's PRP.

### **Commander's Checklist**

- Certify, decertify, and remove personnel according to DOD Directive 5210.42 and local procedures.
- Administratively certify non-PRP individuals within 30 days of notification of their assignment to a PRP position. Certify individuals upon their arrival to the location before they perform any PRP duties.
- Document these certifications and decertifications on the Report on Individual Person (RIP); Personnel Reliability Program Administrative Certification; AF Form 286, PRP Certificate; or AF Form 286A, Notification of PRP Permanent Decertification Action.
- Identify each position requiring a PRP-certified individual.
- Delegate certification in writing to a certification official when the number of certifications so warrants.
- Screen personnel records and arrange for medical-records screening or medical examination for each PRP candidate.
- Initiate the appropriate security investigation, ensuring that the local Security Forces accept it; forward it to the Defense Investigative Service.
- Ensure that individuals certified for PRP have proper qualifications: S-1 physical profile, technical competence, proper security clearance, positive mental attitude, not under court-martial or criminal charges, US citizen or national, and drug- and alcohol-abuse free.
- Determine the person's reliability by studying past behavior.

- Do not suspend or decertify a person with an illness, injury, or disease that requires hospitalization or placement on quarters if reliability is not in question.
- Personally interview each PRP candidate.
- Ensure that security investigations are less than five years old for initial PRP assignments.
- Ensure that people certified for critical PRP positions are reinvestigated every five years.
- You may formally certify people on the second or subsequent assignment to a critical or controlled position when the investigation is over five years old.
- Start new investigations on people projected to a critical PRP position before administrative certification.
- Certify people on an interim basis when necessary to accomplish the mission.
- Record all information resulting in suspension or decertification on AF Form 164.
- Ensure that inbound personnel allocation carries the appropriate PDS code.
- Update PDS codes to reflect current PRP status.
- Create procedures to immediately remove suspended or decertified individuals from PRP duties.
- Ensure that TDY orders reflect PRP status codes.
- Refer to AFI 36-2104, attachment 2, for suspension and decertification guidelines.

## **Counseling**

REF: AFI 36-2907, *Unfavorable Information File (UIF) Program*

OPR: Commander; First Sergeant; and Supervisor

OCR: Mission Support Squadron; Chaplain; Medical Services; and Staff Judge Advocate

### *The first tool*

Counseling is the your first tool in corrective action. This does not mean that all airmen who require counseling are in trouble or that all airmen who are in trouble should be counseled. Encourage airmen to seek counseling and assistance from their supervisor, the first sergeant, or you. The wisdom and maturity of the supervisor or first sergeant frequently provide the guidance necessary to improve job performance or behavior before a major problem requiring serious action develops.

You or a supervisor should initiate counseling to correct habits or shortcomings that are not criminal or illegal but can affect job performance or conduct. Airmen must be counseled for doing a good job; you and your supervisors often fail to document positive counseling.

### **Commander's Checklist**

- Document counseling sessions on AF Form 174, Record of Individual Counseling.
  - Do not put records of counseling in the UIF.
  - Destroy AF Form 174 one year after last counseling session or after member's reassignment or separation.
- Ensure that supervisor's or counselor's records contain the following:
  - Circumstances or behavior causing the counseling session;
  - Simple description of what was said during the session;
  - Causes of the problem, if known or admitted; and
  - Solution developed and/or action taken or recommended.
- Advise airman of rights under Article 31, *UCMJ*, if you convene a session involving a case in which criminal disciplinary action could be taken.
  - Failure to do so will mean that statements cannot be used against the person in any subsequent action.
  - Do not intimidate the person. The purpose of the session is to help.
  - Admit that Article 31 could apply but that you want to help, not discipline, the individual.
- When an individual refuses to sign a written counseling form, note that fact on the form, date it, sign it, and have it witnessed.

### **Unfavorable Information File**

REF: AFI 36-2907, *Unfavorable Information File (UIF) Program*

OPR: Commander; and Supervisor

OCR: First Sergeant; and Mission Support Squadron/Military Personnel Flight

#### *Commanders' duties*

The UIF is an official record of unfavorable information. It documents administrative, judicial, or nonjudicial censures concerning the member's performance, responsibility, and behavior. It may form the basis for administrative, personnel, or punitive actions. The UIF consists of mandatory documents; optional documents (at your discretion); AF Form 1058, UIF Actions; and AF Form 1137, UIF Summary. Commanders of MILMOD units will appoint an individual to act as UIF monitor. MPF chiefs will appoint an individual to act as UIF monitor for non-MILMOD units.

Before establishing a UIF, you must refer the documents to the offending member. The individual has three duty days to acknowledge his or her intended actions on an AF Form 1058 and provide evidence or statements of mitigation or refutation of the derogatory information before you make a final decision. AFI 36-2907 requires you and senior

Air Force officers or commanders of an Air Force element in a joint command to review all unit UIFs within 90 days of permanent assumption or appointment to command and annually. You must review UIFs when individuals are being considered for promotion, reenlistment, or PRP duties.

### **Commander's Checklist**

- The following actions require a mandatory UIF entry:
  - Record of suspended punishment under Article 15, *UCMJ*, or unsuspended Article 15 punishment longer than one month.
  - Record of conviction adjudged by court-martial or any amended records.
  - Record of conviction by a civilian court (foreign or domestic) or an action tantamount to a finding of guilty for an offense that carries a possible sentence of confinement for more than one year to death.
  - Control-roster action.
- Optional UIF actions include the following:
  - Article 15 when the punishment period is less than one month.
  - Minor civilian court convictions.
  - Letters of reprimand.
  - Alcohol abuse.
  - Financial irresponsibility.
  - Evidence of discrimination.
  - Other derogatory information.
- You must review UIFs in connection with promotion, reenlistment, reassignment, or PRP. You must discuss early removal of UIF documents with the SJA and MPF chief.
- Use AF Form 1058 to remove documents from the UIF, citing the specific documents.
- Maintain UIFs at the unit for commanders of MILMOD units and at the MPF for non-MILMOD units.

### **Control Roster**

REF: AFI 36-2097, *The Air Force Unfavorable Information File Program*

OPR: Commander; First Sergeant; and Supervisor

OCR: Mission Support Squadron/Military Personnel Flight; and Staff Judge Advocate

Use the control roster to set up a six-month observation period for individuals whose duty performance is substandard or fails to meet or maintain Air Force standards of conduct, bearing, and integrity on or off duty. The control roster is a rehabilitative tool that gives the member an opportunity to improve.

The control roster is probably the most *underutilized* quality-force tool because control roster action is viewed as having long-term, irreversible consequences. This is simply not true. Individuals whose duty performance while on the control roster meets acceptable standards suffer no long-term consequences. You can regulate the effects of control roster action in any manner you view as appropriate. It is a super management tool—use it!

### **Commander's Checklist**

- You should consult AFI 36-2907, chapter 2, to determine when and how to start control-roster action and the effect of such action on a member's career.
- Use AF Form 1058, Unfavorable Information File Action, to place an individual on the control roster.
- Consider control-roster observation for members who demonstrate substandard duty performance or fail to maintain Air Force standards.
- Periodically counsel personnel on the control roster about their improvement.
- Direct an OPR/EPR before placing a member on or removing one from the control roster.
- Be aware that once the control roster expires, individuals are not placed back on it unless a separate incident occurs.
- Consider members' service and overseas retainability before putting them on the control roster.
- Remove members from formal training during the control-roster observation period.
- Do not put individuals on the control roster who are TDY, TDY en route, or in PCS status.
- Remove members from the control roster early by using AF Form 1058.
- The MPF UIF monitor maintains the control roster and commander enlisted-management roster for you.

### **Reprimands**

REF: AFI 36-2907, <i>Unfavorable Information File (UIF) Program</i> OPR: Commander; First Sergeant; and Supervisor OCR: Staff Judge Advocate; and Mission Support Squadron
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The right to use reprimands and admonitions is an inherent responsibility of yours and supervisors. Impose reprimands and admonitions administratively on airmen for departing from acceptable norms of performance or conduct, bearing, behavior, or integrity (on or off duty). These are management tools used to reprove, correct, and instruct; therefore, unlike reprimands that result from Article 15 or courts-martial punishments, they are not punitive in nature.

A reprimand is more severe than an admonition, carries a strong implication of official censure, and may be written or oral. A written letter of admonition or reprimand must contain the following: what the member did or failed to do along with dates, times,

and places. The letter should include language that admonishes or reprimands the member along with a statement of what improvement is expected, warning that further deviation may result in more severe action. The letter should include a statement (1) telling the member to acknowledge receipt and return any response within three workdays of receipt, and (2) informing the member that comments made will become part of the record. Additionally, the letter should include a Privacy Act statement. You may elect to file the Letter of Admonishment (LOA) or a Letter of Reprimand (LOR) in the member's UIF. In the case of an officer, not filing the LOA in the UIF makes filing in the individual's personnel information file (PIF) mandatory. It is mandatory to file officer LORs in the individual's UIF.

### **Commander's Checklist**

- The commander and/or supervisor should sign an LOR or LOA to censure a subordinate for unacceptable performance, conduct, or bearing.
- You or the supervisor should state time, date, and place of the breach, and include a warning should further deviations occur.
- You or the supervisor should include this statement: "You will acknowledge receipt and return (or send) this letter to me within three workdays of your receipt. Any comments or documents you wish to be considered concerning this LOR or LOA will be included in your response."
- The LOR or LOA must contain a Privacy Act statement.
- If the member refuses to acknowledge receipt within three workdays, annotate the letter "member refused to acknowledge" and the date.
- The commander decides whether the letter should go into a UIF for enlisted personnel. For officers, LOAs are filed in the individual's PIF. If an officer receives an LOR, placing it in a UIF is mandatory.
  - If placing the LOA or LOR in a UIF, follow the instructions on AF Form 1058.
  - Commanders are strongly encouraged to seriously consider filing all optional letters in a UIF for any subsequent court-martial.
  - It is strongly encouraged that LORs be placed in officer selection records (OSR). The wing commander or issuing authority, whichever is higher, may direct early removal of the LOR from the OSR. LORs filed in the OSR remain permanently in the master personnel record.

### **Nonjudicial Punishment (Article 15, UCMJ)**

REF: AFI 51-202, <i>Nonjudicial Punishment Guide; Manual for Courts-Martial</i> , United States (2000 ed.)
OPR: Commander; and First Sergeant
OCR: Staff Judge Advocate; Mission Support Squadron/Military Pay; Area Defense Counsel



Nonjudicial punishment (NJP) under Article 15 of the *UCMJ* is one of your most valuable tools for maintaining morale, good order, discipline, and efficiency. It offers fair, swift, and efficient punishment for offenses too serious to be disposed of administratively but not so serious as to require trial by court-martial.

*NJP authority*

Generally, any commander who is a commissioned officer may impose NJP for minor offenses (punishable under the *UCMJ*) on members of his or her command. In deciding whether or not an offense is minor, you should consider the nature and circumstances of the offense as well as the offender's age, grade, duty assignment, record, experience, and the maximum sentence a court-martial could impose. Generally, you should not consider offenses minor if a general court-martial could impose a sentence including a dishonorable discharge or confinement for more than one year. You are encouraged to take full advantage of nonpunitive disciplinary tools such as counseling, administrative reprimands, and administrative withholding of privileges as preliminary rehabilitative measures before resorting to NJP.

*Processing requirements*

The requirements, formalities, and limitations upon imposition of NJP are set forth in part 5 of the *Manual for Courts-Martial* and in AFI 51-202. You must be familiar with these references before attempting to exercise Article 15 authority. You are required to confer with the SJA or a designee before initiating NJP proceedings and before imposing punishment. The military-justice section of the base legal office will prepare AF Form 3070, Record of Nonjudicial Punishment Proceedings.

While no standard of proof is applicable to any phase of Article 15 proceedings, you should recognize that offenders are entitled to demand trial by court-martial, in which proof beyond a reasonable doubt by competent evidence would be a prerequisite to conviction and punishment. Therefore, you should consider whether such proof is available before initiating action under Article 15. Generally, NJP action without proof is not warranted. You should remember that accepting an Article 15 *is not* an admission of guilt. Rather, the member is agreeing to allow you, the commander, to decide guilt or innocence. You must keep an open mind when considering all written and oral matters submitted by the member.

Once notified of NJP proceedings on AF Form 3070, offenders have three duty days (72 hours) to respond. You may approve or disapprove requests for additional time to respond. You will encourage offenders to consult with the Area Defense Counsel in all cases. Offenders are entitled to receive a summary of the evidence against them. Upon request, an offender and defense counsel may examine any available statements or other documents before deciding whether to accept NJP. (The legal office will normally supply such evidence to the ADC.) If the offender fails to indicate acceptance of the Article 15 within three duty days, you may proceed with punishment.

If offenders requests a personal appearance, they should be advised of their rights under Article 31(b), *UCMJ*; be informed of the

evidence against them and have an opportunity to examine it; be accompanied by a spokesperson (not necessarily a lawyer); and request relevant, reasonably available witnesses. Personal appearances will be open to the public at the member's request. (There are some limited exceptions to this requirement.) You may also choose to open the presentation to the public even if the member objects.

After the personal presentation (if requested) and after consideration of all matters in defense, mitigation, and extenuation, you must decide whether the offender committed the offense(s); whether Article 15 punishment is appropriate, considering all of the circumstances; and, if Article 15 punishment is appropriate, what punishment to impose. You must consult with the SJA before imposing any punishment. However, imposition of punishment is ultimately your responsibility; you must do your best to ensure that the punishment fits both the offense and the offender. AFI 51-202, tables 1 and 2, provide a summarization of punishment limitations based upon your grade and the offender's grade. Typical punishments include forfeiture of pay, reprimand, restriction, correctional custody, reduction in grade, extra duties (enlisted only), and arrest in quarters (officer only). You should impose the least severe punishment sufficient to correct and rehabilitate the offender. In fitting the punishment—especially when considering forfeiture of pay—you should weigh the member's current financial circumstances.

The purpose of an Article 15 is both to punish and to promote positive behavior; you must make use of your powers to suspend, mitigate, and remit punishment. Normally, use of these rehabilitative tools will enhance your position as a commander and will have a lasting effect on the offender. In rare cases where it is later found that NJP was wrongly imposed, it may be set aside. You must consult the SJA before taking any of these post-punishment actions.

#### *Appealing NJP*

Offenders are entitled to appeal NJP to the next superior authority in your chain of command. The only allowable basis for appeal is that the punishment imposed was unjust or disproportionate to the offense. Offenders must appeal the punishment within five days unless they request an extension and the commander who imposed the punishment grants the request. If an offender indicates intent to appeal but at the end of the five days has not done so, the commander must complete the process even if the offender has not made submissions to support the appeal. Offenders must submit all evidence supporting their appeals to the commander who imposed punishment. If that commander declines to grant all requested relief, he or she must forward the appeal to the appellate authority through the servicing SJA. The appeal process does not stay the punishment. If no action is taken on an appeal within five days after submission, the offender may request that any unexecuted punishment involving restraint or extra duties be delayed until after the appeal is final.

## Commander's Checklist

- NJP is one of a commander's most valuable tools for maintaining morale, good order, discipline, and efficiency.
- The purpose of Article 15 is to both punish and promote positive behavior.
- Any officer who is a commander may impose NJP for minor offenses in the command.
- You should take advantage of nonpunitive disciplinary tools such as counseling, reprimands, or withholding privilege before resorting to NJP.
- Before imposition of NJP, you should be familiar with AFI 51-202. You should consult with the SJA at every stage of the NJP process.
- The base legal office prepares AF Form 3070.
- Offenders are entitled to demand trial by court-martial, in which proof beyond a reasonable doubt by competent evidence would be a prerequisite to conviction and punishment.
- You must consider whether such proof is available before initiating action under Article 15.
- You will need to review AFI 51-502, tables 1 and 2, for a summarization of punishment limitations.
- You have the authority to suspend, mitigate, and remit punishment.
- You should enforce the least severe punishment sufficient to correct and rehabilitate the offender.
- Offenders may appeal NJP to the next higher authority within five days unless the commander who imposed the punishment grants a request for an extension.
- You must see that punishment fits both the offense and the offender. Acceptance of an Article 15 is not an admission of guilt—it is consent to the procedure.

## Rights of Suspects (Article 31, UCMJ)

REF: Article 31, *UCMJ*, *Military Rules of Evidence* 304 and 306, *Manual for Courts-Martial*, United States (2000 ed.); Air Force Visual Aid 125-19, Advisement of Rights; AF Form 1168, Statement of Suspect

OPR: Commander; First Sergeant; and Supervisor

OCR: Staff Judge Advocate; Air Force Office of Special Investigations; and Security Forces Squadron

*Commanders  
and rights*

You have the responsibility to maintain discipline. This requires that you counsel, admonish, reprimand, or hold discussions with your subordinates. As long as you are doing all the talking, the individual's constitutional rights do not become an issue. But the moment you suspect someone of an offense and ask questions or take any action for the purpose of seeking an incriminating response or discovering one as a reasonable consequence of such questioning, you

must advise the military suspect of his or her rights under Article 31, *UCMJ*. You must advise civilian employees of their rights under the Fifth Amendment. Properly reading individuals their rights enables the government to preserve any admissions or confessions for later use as evidence. Unadvised admissions and confessions are normally not admitted, and resulting evidence is excluded.

*Article 31  
provisions*

Article 31 of the *UCMJ* provides that no person shall be compelled to incriminate him or herself or to answer questions tending to incriminate them. Persons subject to the *UCMJ* must advise another individual if they suspect that person of a criminal offense and are interrogating the person as part of an official law enforcement investigation or disciplinary inquiry. Military supervisors and commanders are presumed to be acting in a disciplinary capacity when questioning subordinates.

*When must Article  
31 rights be given?*

You must give Article 31 rights whenever interrogation occurs. Interrogation includes formal or informal questioning in which an incriminating response is sought or is a reasonable consequence of such questioning. Interrogation does not have to involve actual questions. Sometimes actions, if intended to elicit responses, are deemed interrogation. High standards apply to commanders and supervisors with regard to Article 31 rights. When in doubt, you should advise subject of their rights and consult the SJA.

*What must Article  
31 rights include?*

Rights advisement should include the general nature of the suspected offense (legal specifications are not necessary; the use of lay terms is permitted, but be specific); the suspect's right to remain silent; and the consequences of making a statement. It is not necessary that the advisement is verbatim, but it is best to read the rights directly from AF Visual Aid 125-19.

The suspect must understand and acknowledge the advisement. The suspect must affirmatively acknowledge understanding of the rights and affirmatively consent to make a statement. Consent to make a statement cannot be obtained by coercion, threats, promises, or trickery. Be cautious when advising intoxicated persons of their rights. If significantly drunk, they may be legally incapable of knowing they are voluntarily waiving their rights. If an individual indicates a desire to remain silent, cease questioning. This does not mean that you cannot give the individual orders or directions on other matters. Just be careful not to threaten. If a suspect equivocates over whether to assert his or her rights, questioning may not proceed until the issue is resolved. If this situation arises, take a break from the interview, and contact the SJA for guidance. If the suspect requests counsel, *stop* all questioning. If, after electing to talk, the suspect changes their mind, *stop* questioning. Contact the SJA before reinitiating any questioning.

If the individual waives his or her rights and agrees to talk, when possible, have the individual write out the waiver using AF Form 1168, Statement of Suspect/Witness/Complainant. You should

always have a witness available and try to get the statement in writing (a handwritten statement is best).

*The questioning*

Prepare a memorandum for record (MFR) immediately after the session ends. The MFR should include the location of the session; what and when you advised the suspect; what the suspect said; what activities took place (suspect sat, stood, smoked, drank, etc.); what the suspect's attitude was (angry, contrite, cooperative, combative, etc.); and the inclusive hours of the session.

### **ADVISEMENT FOR MILITARY SUSPECT**

I am \_\_\_\_\_ (commander of the) \_\_\_\_\_, \_\_\_\_\_ AFB. I am investigating the alleged offense(s) of \_\_\_\_\_, of which you are suspected. Before proceeding with this investigation, I want to advise you of your rights under Article 31 of the *Uniform Code of Military Justice*. You have the right to remain silent; that is to say nothing at all. Any statement you do make, either oral or written, may be used against you in a trial by court-martial or in other judicial, nonjudicial, or administrative proceedings. You have the right to consult with a lawyer prior to any questioning and to have a lawyer present during this interview. You have the right to military counsel free of charge. In addition to military counsel, you are entitled to civilian counsel of your own choosing at your own expense. You may request a lawyer at any time during this interview. Have you previously requested counsel after advisement of rights? [If the answer is yes, stop. Consult your SJA before proceeding.] If you decide to answer questions during this interview, you may stop the questioning at any time. Do you understand your rights? Do you want a lawyer? [If the answer is yes, cease all questioning.] Have you already consulted an attorney about this matter? [If the answer is yes, stop questioning and contact the SJA.] Are you willing to answer questions? Do you understand that you are free to end this interview at any time?

### **ADVISEMENT FOR CIVILIAN SUSPECT**

I am \_\_\_\_\_ (grade, if any, and name), (a member of the Air Force Security Forces/AFOSI). I am investigating the alleged offense(s) of \_\_\_\_\_, of which you are suspected. I advise you that under the Fifth Amendment to the Constitution, you have the right to remain silent, that is to say nothing at all. Any statement you make, oral or written, may be used as evidence against you in a trial or in other judicial or administrative proceedings. You have the right to consult with a lawyer and to have a lawyer present during this interview. You may obtain a civilian lawyer of your own choosing, at your own expense. If you cannot afford a lawyer and want one, one will be appointed for you by civilian authorities before any questioning. You may request a lawyer at any time during the interview. If you decide to answer questions, you may stop the questioning at any time. Do you understand your rights? Do you want a lawyer? [If the answer is yes, cease all questions at this point.] Are you willing to answer questions? Have you previously requested a lawyer after rights advisement? [If the answer is yes, stop immediately. Consult your SJA before proceeding.]

### **Commander's Checklist**

- Article 31, *UCMJ*, provides that no person shall be compelled to self-incrimination or to answer questions tending to incriminate him or herself.

- You must ensure that rights of accused are protected and that no person is forced to make a statement without first being informed of the right to remain silent, the right to counsel, and the fact that statements can be used as evidence.
- When possible, consult with the SJA before questioning a suspect.
- Obtain a current rights-advisement card from Security Forces, AFOSI, or the SJA.
- If an individual waives his or her rights, obtain the waiver in writing using AF Form 1168, and have a witness available.
- If the suspect requests counsel, stop all questioning. Inform the SJA and get advice before questioning resumes.
- If the suspect, after electing to talk, changes his or her mind, stop the questioning and prepare a memorandum containing the time of session, what you advised the suspect, what took place, the suspect's attitude, and the duration of the session.

### **Administrative Demotion**

REF: AFI 36-2503, *Administrative Demotion of Airmen*; AFPAM 36-2618, *The Enlisted Force Structure*; AFI 40-501, *The Air Force Fitness Program*; AFI 40-502, *Air Force Weight Management Program*

OPR: Commander; and First Sergeant

OCR: Mission Support Squadron

*Who may be demoted?*

You may initiate administrative demotion action against enlisted members in the grades AMN through CMSgt under your command. Airmen serving in the grades of SrA or higher may be administratively demoted to A1C; a demotion of more than three grades should be considered only in an extreme case. AFI 36-2503, paragraph one, explicitly states that administrative demotions may not be used when it is more appropriate to take actions specified under the *UCMJ*. Enlisted members serving in the grade of AMN or A1C may be demoted only one grade.

*Who may demote?*

Group commanders or equivalent level-commanders may demote MSgts and below. MAJCOM commanders, field operating agency (FOA) commanders, or direct reporting unit (DRU) commanders may demote SMSgts and CMSgts. The demotion authority of MAJCOM commanders may be delegated to MAJCOM directors of Personnel (DP), Manpower and Personnel (MP), vice commanders (CV), combat support (CS), or numbered air force (NAF) commanders.

*Grounds for administrative demotion*

There must be reasons for demotion in the current enlistment of the military member (unless the commander was unaware of the facts and circumstances until after a past term of enlistment expired). If the unit commander has sufficient reason to initiate demotion action, he or she should consult the entire military record in deciding whether

demotion is appropriate. You should give airmen an opportunity to overcome their deficiencies before initiating demotion action, and should retain all supporting documentation of rehabilitation and probationary actions. Grounds for administrative demotion include the following:

- Failure to complete training
- Failure to maintain skill and/or grade level
- Failure to fulfill NCO responsibilities (AFPAM 36-2618)
- Failure to attain or maintain body-fat standards (AFI 40-502)
- Failure to attain or maintain fitness standards (AFI 40-501)

*Due-process  
procedures*

Figure 1 depicts the flowchart for administrative demotion of airmen. The immediate commander notifies the airman in writing (after consulting with the servicing SJA) of the intent to recommend demotion. The notification must include one or more specific reasons for demotion and a complete summary of supporting facts. The commander informs the airman of his or her right to counsel and the right to respond orally in a personal hearing, in writing, or both.

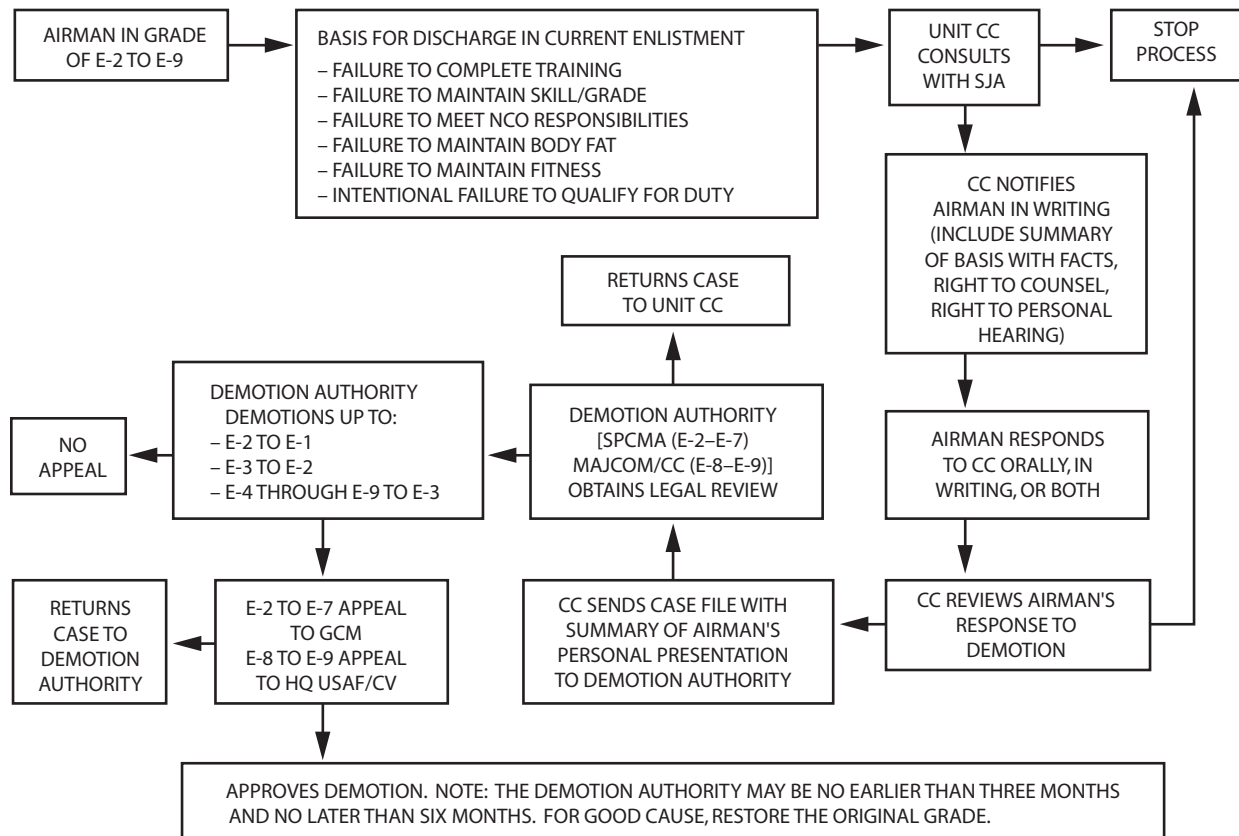
The airman consults with the ADC and presents a response to the initiating commander. The commander considers the airman's response and decides whether to continue processing the case. If the decision is to continue, the commander forwards the entire file with a summary of any personal appearance through the MPF to the demotion authority. The demotion authority obtains a legal review and decides whether to demote and, if so, the grade and/or grades reduced.

After notification of the demotion authority's decision to demote, the airman has three duty days to appeal the decision to the next higher authority. Additionally, personnel eligible for retirement may elect to apply for retirement in lieu of demotion.

Finally, the demotion authority can, sometime between three and six months after the effective date of the demotion, restore the airman's original grade. Although this is an uncommon occurrence, it can be an effective motivational tool.

### **Commander's Checklist**

- Who may be demoted:
  - E-4 or higher may be demoted to E-3
  - E-2 or E-3 may be demoted one grade
- Who may demote:
  - Group commander or equivalent may demote E-7 and below
  - MAJCOM, FOA, and DRU commanders may demote grades E-8 and E-9
- Grounds for administrative action:
  - Failure to complete training
  - Failure to maintain skill and or grade level



**Figure 1. Administrative Demotion Flowchart**

- Failure to fulfill NCO responsibilities
- Failure to attain or maintain body-fat standards
- Failure to attain or maintain fitness standards
- Due-process procedures are depicted in figure 1.

### **Administrative Discharge (Airmen)**

REF: AFI 36-3208, *Administrative Separation of Airmen*

OPR: Commander; First Sergeant; Supervisor; and Mission Support Squadron

OCR: Staff Judge Advocate; Medical Service; Mission Support Squadron; and Chaplain



AFI 36-3208 contains standards and procedures for implementing Air Force policy concerning voluntary and involuntary separation of airmen. It governs service characterization for administrative separation and prescribes procedures for the probation and rehabilitation program for airmen subject to administrative discharge for cause.

Air Force policy requires commanders and supervisors to identify airmen who show likelihood for early separation and make reasonable efforts to help those airmen meet Air Force standards. Airmen who do not show potential for further service should be discharged.

*Preprocessing  
rehabilitation*

Before initiating discharge procedures, in most cases, the instruction requires you to attempt to rehabilitate the airman. You and the supervisor must document all attempts at rehabilitation. Tools available for rehabilitation are counseling, reprimands, control roster action, Article 15 NJP, change in duty assignment, demotion, additional training, and retraining. Ordinarily, you must formally counsel airmen about deficiencies and give them an opportunity to overcome deficiencies before recommending discharge.

*Basis for discharge*

In most cases the acts or conditions upon which a discharge is based must have occurred in the current enlistment (exceptions: cases involving homosexual conduct, fraudulent entry, erroneous enlistment, and, in limited circumstances, the weight-management program). In addition, if the commander is not aware of the facts until after the member reenlisted (with no break in service), the information can form a basis for discharge. Once a basis for discharge is found in the current enlistment, you and the discharge authority can consult the airman's entire military record to determine if discharge is appropriate.

AFI 36-3208, chapter 5, outlines the reasons for involuntary separation. You may cite more than one reason as the basis for discharge. Normally, you should select one reason as the main reason for discharge. Some of the reasons for discharge provided in AFI 36-3208 include the following:

- Convenience of the government
- Defective enlistments
- Entry-level performance and conduct
- Unsatisfactory performance
- Failure of drug- or alcohol-abuse treatment
- Homosexual conduct
- Misconduct
- Failure in the weight-control program

*Types of discharge*

Administrative separation results in the award of one of three types of administrative discharges—honorable, general (under honorable conditions), and under other than honorable conditions. Honorable is granted when an airman's service generally has met Air Force standards of acceptable conduct and performance of duty and is also appropriate when one's service is otherwise so meritorious that any other characterization would be inappropriate. General (under

*Processing  
administrative  
separations*

honorable conditions) is appropriate if an airman's service has been honest and faithful. Additionally, it is awarded when significant negative aspects of conduct or performance outweigh positive aspects of military record. Under other than honorable conditions (UOTHC) is appropriate if it is based on a pattern of behavior or one or more acts or omissions constituting a significant departure from the conduct expected of airmen. UOTHC can be awarded only if the airman is offered an administrative discharge board or if discharge is requested in lieu of trial by court-martial. A fourth type of separation is actually a separation without service characterization. Airmen in entry-level status during the first 180 days of active military service will receive an entry-level separation unless a service characterization of UOTHC is authorized and warranted by circumstances of the case. Additionally, the SAF determines that characterization as honorable is clearly warranted by unusual circumstances of personal conduct and performance. You should base the service characterization of a member's service solely on the current enlistment.

You may not use administrative discharge as a substitute for disciplinary action. Although you normally have discretion in deciding whether or not to initiate discharge action, discharge processing is mandatory if the reason is homosexual conduct, fraudulent or erroneous enlistment after waiver disapproval, conviction by a civil court after waiver disapproval, or drug abuse, unless the commander requests a waiver.

An airman recommended for discharge for a reason in chapter 5 of AFI 36-3208 must be offered a hearing by an administrative-discharge board if one of the following conditions applies:

- The airman is an NCO.
- The airman has six years or more total active and inactive service.
- UOTHC is recommended.
- The basis of the action involves homosexual conduct or discharge in the interest of national security is recommended (you should ensure that appropriate clearance to proceed has been received).
- The airman is a commissioned or warrant officer of the United States Air Force Reserve.

All other airmen may be processed for discharge by the notification procedure.

To initiate discharge proceedings, you, with the assistance of the SJA, will be required to prepare a case file. When applicable, the case file will include statements from personnel who can attest to the conduct of the individual; counseling records; copies of reprimands; Article 15, *UCMJ* actions; psychiatric or medical evaluations; records of conviction in a civil court; records of military violations; and all other personnel records that apply. The case file is served on the airman, who is then given the opportunity to consult with the ADC.

*Testimony at  
discharge boards*

Depending upon the basis and type of discharge sought, the airman may respond in writing to the commander or present the case to an administrative-discharge board. Ultimately, the discharge authority will make the final decision.

Commanders who set the process in motion should be willing and able to testify forthrightly before the board as to the reasons for their recommendation. They must be prepared to cite specific examples of the respondent's general misconduct or unsuitability. Commanders should be familiar with the respondent's military record, including the member's UIF.

Your attitude at the time testimony is given influences the case. The board is less likely to consider your recommendations favorably if you appear unconcerned, noncommittal, and merely "going through the motions" of testifying. However, the board is far more likely to heed the recommendations of a commander who gives the impression that what he or she is seeking is in the best interest of the unit and the Air Force.

The commander has four decisions to make:

1. Is there a basis for discharge in the current enlistment? Look to AFI 36-3208, chapter 5, for reasons for discharge. Remember, there are limited circumstances in which prior enlistment information can form the basis for discharge.

2. Should the airman be discharged? Remember, you may consult the airman's entire military record to decide whether discharge is appropriate.

3. What is the appropriate service characterization of the discharge? The characterizations are honorable, general (either under honorable conditions or UOTHC), and separation without service characterization.

4. Should the airman be offered conditional suspension of the discharge with probation and rehabilitation? Probation and rehabilitation is not available if the reason for discharge is fraudulent entry, homosexual conduct, drug abuse, or others listed in AFI 36-3208, paragraph 7.2.5. Offer probation and rehabilitation only if there is reasonable expectation of rehabilitation.

### **Commander's Checklist**

- You should try to rehabilitate members before starting discharge procedures.
- Some bases for discharge:
  - Convenience of the government
  - Defective enlistment
  - Unsatisfactory performance
  - Failure of drug/alcohol-abuse treatment
  - Homosexual conduct
  - Misconduct

- Failure in weight-control program
- Types of discharge:
  - Honorable
  - General (under honorable conditions)
  - General (under other than honorable conditions)
  - Separation without service characterization

## **Administrative Discharge (Officers)**

REF: AFI 36-3206, *Separating Commissioned Officers*; AFI 36-3207, *Administrative Discharge Procedures for Commissioned Officers*

OPR: Commander; Supervisor; and Mission Support Squadron

OCR: Staff Judge Advocate; Medical Service; Mission Support Squadron; and Chaplain

### *Air Force policy*

Serving as an officer is a privilege. Action determined not in the best interest of the Air Force may result in privilege termination. Officers who fail to meet and maintain performance standards consistent with their grade and experience or who fail to maintain high standards of professional and personal conduct show themselves unworthy of officer status. The Air Force has both the right and the responsibility to identify such officers early and to take appropriate rehabilitative or separation action promptly.

### *Regulatory guidance*

AFI 36-3207 describes how to administratively separate active duty officers for substandard performance of duty, misconduct, moral or professional dereliction, or homosexual conduct, or if the separation is in the interests of national security. AFI 36-3206 outlines the procedures for the remaining types of voluntary and involuntary administrative separations.

### *Unit commanders' responsibilities*

You are responsible for examining and evaluating any information that indicates grounds may exist for discharge under either instruction. Often, circumstances may support taking action under *UCMJ* as well as administrative discharge. It is very important for you to fully discuss all potential cases with the SJA to ensure the appropriate action. If you decide to recommend initiation of discharge action, all supporting evidence as well as a formal legal review by the SJA must accompany the action. Instructions are detailed and elaborate; commanders must consult the SJA and MPF for advice because of the various methods of processing and required actions by the officer, MAJCOM, and Headquarters USAF. You have the responsibility to document all deficiencies in performance and behavior. You determine whether administrative

discharges of officers are seriously considered. The success of an administrative discharge is directly dependent upon the completeness of the evidence you are required to submit with the recommendation for action.

### **Commander's Checklist**

- You must take prompt action against officers whose professional or personal conduct shows them unworthy of officer status.
- Regulatory guidance for commanders:
  - AFI 36-3207 describes procedures to separate officers for certain types of conduct.
  - AFI 36-3206 describes procedures for the remaining types of separations.
- Unit commanders' responsibilities:
  - Examine information indicating grounds for discharge.
  - Consult with SJA and MPF for advice.
  - Document all deficient performance and behavior.

### **Absent without Leave**

REF: AFI 36-2911, *Desertion and Unauthorized Absence*

OPR: Commander; First Sergeant; and Supervisor

OCR: Mission Support Squadron; Security Forces; Staff Judge Advocate; Military Pay; and Civil Authorities

#### *Air Force policy*

Commanders at all levels will continually emphasize the Air Force's policy regarding unauthorized absenteeism and desertion. If someone is absent without leave (AWOL), the commander has the responsibility to investigate, learn the cause of the absence, and to find and return the absentee to military control.

#### *Regulatory guidance*

AFI 36-2911 details the actions you must take when a member is absent without authority. You must first, make every effort to locate the absent member and establish that the member is not excused from duty or missing because of a bona fide reason. If possible, you should contact the absentee's relatives, friends, and associates. You must ensure that members update the MPF and the squadron's emergency data cards. You or the first sergeant should notify Security Forces for assistance in returning the member to military control. Unauthorized absence begins when a member is absent from where he or she is assigned or otherwise ordered to be present. Documentation is critical. You cite the initial date and hour when the member was discovered missing, and

ensure that the documentation continues throughout the entire process. An unauthorized absence of 24 consecutive hours or less is classified as a “failure to go” instead of as AWOL.

When a member has been unaccounted for for 24 consecutive hours, an AF Form 2098, Duty Status Change, is prepared by the command section a change from “present for duty” to “AWOL.” Additionally, have someone recheck the member’s local address, check with Security Forces for new leads, and document all findings.

Within 72 hours prepare a commander’s inquiry, and forward it to the MPF and Security Forces. Follow guidance in AFI 36-2911, which sets forth the contents of this inquiry to provide investigative leads to help locate the absentee. Additionally, inventory and secure the absentee’s personal effects.

On the 10th day of AWOL, prepare and send letters to the next of kin and agencies paid by allotment; forward copies of the letters to the servicing MPF for filing in the member’s FGR. Additional actions are required on the 31st, 60th, and 180th day of AWOL.

You should consult with the SJA to decide whether court-martial charges should be preferred while the member is absent and, if so, when. This step is important to avoid future problems with the statute of limitation.

If the absentee was under any duty travel restrictions at the time of absence; had access to classified information within the past 12 months; or has gone to or remains in a foreign country, special processing is required in accordance with AFI 36-2911, paragraph 4.

When the absentee is apprehended or returns voluntarily, you must notify MPF and Security Forces, and prepare an AF Form 2098. You are responsible for returning members who are in the custody of civilian authorities to military control. Upon termination of the absence, again consult with the SJA to decide what disciplinary or court-martial action is appropriate.

### **Commander’s Checklist**

- AFI 36-2911 details your responsibilities when a member is absent without leave:
  - Make every attempt to establish the reason for the member’s absence by contacting the absentee’s relatives and associates.
  - Notify Security Forces once AWOL is established.
  - If the member had access to classified materials, inventory all material and remove his or her name from the access list and other locations of access.
  - In the presence of a witness, inventory and secure the absentee’s personal effects.
  - Within 24 hours of discovering the AWOL, prepare AF Form 2098, reflecting duty status as AWOL, and forward it to MPF.
  - In accordance with AFI 36-2911, prepare a commander’s inquiry within 72 hours, and forward it to MPF and Security Forces.

- On the 10th day of AWOL, notify relatives and those paid by allotment of the continued absence.
- AFI 36-2911, table 1, lists actions required on the 31st, 60th, and 180th day of AWOL.
- When the absentee returns voluntarily:
  - Prepare AF Form 2098.
  - If the member is in custody of civilian authorities, it is your responsibility to return him or her to military control.

## **Courts-Martial Charges**

REF: *Manual for Courts-Martial*, United States (2000 ed.); AFI 51-201, *Administration of Military Justice*

OPR: Commander; First Sergeant; and Supervisor

OCR: Staff Judge Advocate; Mission Support Squadron; Chaplain; and Area Defense Counsel

If a member of your command refuses to accept processing of punishment under Article 15, *UCMJ*, and demands a court-martial, or if your investigation indicates the member is probably guilty of an offense deserving a more severe punishment, it may be necessary to prefer court-martial charges.

Trial by court-martial is appropriate only if lesser types of disciplinary and administrative actions are inadequate. If an investigation reveals the commission of an offense or multiple offenses requiring court-martial action, a single trial normally takes place with all offenses combined.

### *Types of courts-martial*

There are three types of courts-martial—general court-martial (GCM), special court-martial (SPCM), and summary court-martial (SCM). The GCM is for the most serious offenses. Maximum punishment is determined by the offense as set forth in the *Manual for Courts-Martial*. The SPCM is for offenses not serious enough to warrant a general court-martial but too serious to be handled by Article 15. Maximum punishment is a bad conduct discharge, confinement for six months, forfeiture of two-thirds of one month's pay per month for six months, and reduction to E-1. The SCM tries enlisted persons who have declined to accept NJP under Article 15. However, on a case-by-case basis, SCMs are used to dispose of offenses without an Article 15 offered when the interests of justice and discipline warrant. Consult the SJA to determine whether an SCM is appropriate. The SCM is not used to try officers.

### *Preparation of charges*

Whenever you have information that appears to involve a criminal offense under the *UCMJ*, take the results of your investigation to the chief of military justice in the office of the SJA. The chief will review the evidence, advise whether additional

evidence may be necessary, and prepare charges and specifications appropriate to the facts as they appear to be at that time.

The office of the SJA will prepare the court-martial charge sheet (DD Form 458). The SJA will also assist in preparing AF Form 65, Letter of Transmittal of Court-Martial Charges. This form calls for certain personal information concerning the accused and must be accurate.

*Preferral of charges*

Anyone subject to the *UCMJ* may sign the charges as “accuser,” but normally you will sign. If the case appears to be in order, you will review the charges and specifications and sign them under oath before the SJA, who will sign them as administering the oath. You then inform the accused of the charges by reading the charges and specifications to the accused. The certificate signed by you indicating the accused has been informed is delivered to SJA personnel. This process is called the “preferral of court-martial charges.”

*Referral to court-martial*

After preferral, the SJA usually receives the charges on behalf of the SSM convening authority and then refers the charges to trial by the SPCM convening authority (if an SPCM is to be convened). If the charges are referred to a GCM, then the SPCM convening authority appoints an Article 32 investigating officer to conduct an investigation (the rough equivalent of a civilian grand jury). The Article 32 report of investigation next goes to the GCM convening authority through the SPCM convening authority and the case goes to a GCM. After the charges are referred to trial, the appointed trial counsel will then formally serve the accused with a copy of the charges and specifications.

*Commander's involvement*

The completion of preferral ends your role in the case unless your testimony is required at the Article 32 investigation or trial. If so, the Article 32 investigating officer, trial counsel, or defense counsel will notify you. Severe time constraints are involved in the preferral and trial of court-martial charges. Timely processing is critical to the survival of the charges or specifications. If the subject is ultimately convicted and sentenced, you and your first sergeant will be asked to make a clemency evaluation of the accused and will receive specific instructions on further procedures.

### **Commander's Checklist**

- If you have information that a military member under your command may have committed an offense under the *UCMJ*, immediately contact the chief of military justice, office of the SJA.
- The three types of court-martial are as follows:
  - General court-martial
  - Special court-martial
  - Summary court-martial



- Since you normally prefer the charges and sign as the “accuser,” you must first familiarize yourself with the AFOSI report of investigation (or statements, etc.) to ensure administration of the required sworn oath before preferral.
- After preferral, you must personally read the charges to the accused and complete block 12 of DD Form 458.
- Once you have completed preferral, your involvement with the case may include the possibility of testifying in the case or taking other administrative action as needed.
- Upon conviction of the accused, you will be asked to make a clemency evaluation of the accused.

## **Pretrial Confinement**

REF: Rules for Court Martial 304 and 305, *Manual for Courts-Martial*, United States 2000; AFI 51-201, *Administration of Military Justice*

OPR: Commander

OCR: Staff Judge Advocate; and Security Forces

Pretrial confinement is physical restraint imposed by order of competent authority that deprives a person of freedom pending disposition of court-martial charges. Only a person who is subject to trial by court-martial may be confined. You should never confine someone without first consulting the SJA. The imposition of pretrial confinement starts the speedy trial clock, regardless of whether charges have been preferred. If confinement is premature or inappropriate, this can adversely affect the government’s case.

*Commander  
authority*

You may order a subordinate member into pretrial confinement, which is appropriate when (1) there is probable cause to believe that the member committed an offense triable by military court-martial; (2) it is foreseeable that the member will not appear for trial or will engage in further serious criminal misconduct; and (3) less severe forms of restraint are inadequate.

There are no provisions for bail under the *UCMJ*; you must use your authority very carefully. Occasionally, by habitual tardiness, laxity, or general attitude, a member so antagonizes and frustrates you that confinement seems to be the only answer. However, unless you believe and are prepared to testify that the above three factors pertain, pretrial confinement is not appropriate or legally supportable.

*Pretrial-confinement  
procedures*

Upon confinement, the person must be promptly notified of the nature of the offenses for which he or she is being held. The confinee must be advised of the right to remain silent and must be informed that any statements made may be used against them. The confinee must be advised of the right to retain civilian counsel at no expense

to the United States, the right to request assignment of military counsel, and the procedures by which pretrial confinement will be reviewed.

If the person ordering confinement is not the confinee's commander, the confinee's commander must be notified within 24 hours of the person's entry into confinement. According to AFI 51-201, you must decide whether confinement should continue within 48 hours of the confinee's entry into confinement. You need to consider the nature and circumstances of the offense(s) and the weight of the evidence when making confinement decisions. The accused's ties to the local community (family, off-duty employment, and so forth), the likelihood that the accused will flee, the accused's character and mental condition, the accused's service record, the likelihood the accused will commit further serious misconduct if not confined, and the effectiveness of lesser forms of restraint should also be considered.

If you decide to continue confinement, you need to put the decision in writing (with full details for the reasons to continue confinement); provide copies to the confinee and to a reviewing officer. The reviewing officer is a military magistrate appointed by the convening authority or a military judge who will review the propriety of continued pretrial confinement. The completed review and the decision are reported to the prisoner and to the convening authority within seven days of the prisoner's being placed in confinement. The reviewing officer uses the same basic criteria as you in determining whether pretrial confinement is appropriate. The review is not an adversarial proceeding, and the prisoner and counsel have no right to cross-examine witnesses.

The speedy trial clock starts to run as soon as pretrial confinement begins. This means the government must bring the accused to trial within 120 days or risk having the case dismissed.

### **Commander's Checklist**

- Order a member into pretrial confinement when there is probable cause to believe that he or she has committed an offense triable by court-martial, will not appear for trial, and will commit further criminal behavior; it is also appropriate when lesser forms of restraint are inadequate.
- Always consult the SJA before ordering a member into pretrial confinement.
- Promptly advise the confinee of the nature of the offense, his or her rights under Article 31, *UCMJ*, the right to have free military counsel or to retain civilian counsel at no expense to the government; and the procedures for reviewing pretrial confinement.
- Notify the confinee's commander within 24 hours of entry into confinement.
- To determine if confinement should continue, consider the nature of the offense, the accused's ties to the local community, the character of the accused, the likelihood of further misconduct, and the effectiveness of lesser restraints.

- Put your decision in writing; provide one copy to the prisoner and one to a military magistrate for review (which must be completed and reported to the confinee within seven days of entry into confinement).

## **Searches and Inspections**

REF: *Manual for Courts-Martial*, United States (2000 ed.); AFI 51-201, *Administration of Military Justice*

OPR: Commander

OCR: Staff Judge Advocate; and Air Force Office of Special Investigations

### *Commander's authorization*

The law on search and inspection is complex and changes frequently due to court decisions. The following presents a general overview of the commander's rules in search, seizure, and inspections. Legal considerations and technical aspects involved in this area may vary because of unique factual settings. It is of utmost importance that you receive legal advice from the SJA whenever a question arises involving searches, seizures, or inspections.

General military law authorizes commanders to direct inspections and probable-cause searches and seizures of persons and property under their command. Military law requires that the commander authorizing such a search or seizure be neutral and detached from the case and facts. In order to separate the command functions of gathering facts and maintaining overall military discipline from the command function of granting search authorizations, most bases and MAJCOMs have centralized this role in the installation commander, who is also normally the special court-martial convening authority. The installation commander has discretion to appoint up to two military magistrates in writing to act concurrently with him or her on search-and-seizure (including apprehension) authorizations based on probable cause. Both the primary and secondary alternate magistrate must receive training on search-and-seizure issues provided by the SJA. Additionally, law-enforcement personnel receive training on very strict legal procedures that must be followed in obtaining proper search authorizations.

### *Key terms*

You must know the differences between the legal concepts of inspections, inventories, and searches and/or seizures because failure to do so may result in exclusion of crucial evidence in a court-martial or NJP action. *Searches* are examinations of a person, property, or premises for finding criminal evidence. *Seizures* are the meaningful interference with an individual's possessory interest in property. *Inspections* are examinations of a person, property, or premises, having the primary purpose of determining and ensuring the security, military fitness, or good

## Searches

order and discipline of your command. *Inventories* are administrative actions that account for property entrusted to military control. These terms may be difficult to fully understand. It is imperative that you consult with your legal office in this area.

You may authorize searches if you have control over the places or persons searched. Only under the following conditions are searches allowed:

1. When a suspect has been lawfully apprehended, a search may be done to discover hidden weapons and to prevent a suspect from destroying any evidence that may be on his or her person or in the immediate area.
2. When the person who owns or controls the search area gives voluntary consent.
3. When a commander with the requisite authority authorizes a search based upon probable cause. A commander who does so must be acting as a neutral and detached magistrate. If the commander is actively involved in law enforcement in a particular case, he or she cannot authorize the search. Probable cause is normally defined as a reasonable belief that the person, property, or evidence sought is currently located in the place or on the person to be searched. To make this determination, commanders may rely on personal knowledge or oral or written information from others as long as the information is determined to be credible. (An anonymous telephone call, by itself, will never justify a probable-cause search, and, in the case of drug dogs, the commander authorizing the search must have observed and have been personally aware of the dogs' successful training exercises as well as their actual record of success in search situations.) If information arises that may result in a search, a commander should do the following: (1) freeze the situation, (2) notify AFOSI or Security Forces, (3) note any evidence or incriminating statements, and (4) coordinate with the legal office. Commanders should not personally investigate cases involving search-and-seizure issues. Additionally, commanders should always seek written consent to search before determining or having a military magistrate conclude that probable cause supports a search. Consent must be knowledgeable and genuinely voluntary. It cannot result from threats, coercion, or pressure. Commanders must advise persons of the right to refuse to consent. It is always important to have a witness present. Commanders must consult the SJA when contemplating a search.

Besides consensual searches, other searches and seizures may be conducted *without* probable cause. These include border searches; searches upon entry to or exit from US installations, aircraft, or vessels; searches of government property; searches within jails; and searches incident to a lawful stop or apprehension.

### *Inspections*

An inspection is an examination of a person, property, or premises for the primary purpose of ensuring the security, military fitness, and good order and discipline of the organization or installation. Inspections may be announced or unannounced and authorized without probable cause. Regulations permit a specific inspection for weapons and contraband during a previously scheduled inspection. Inspections are not searches. A search is a quest for incriminating evidence for use in criminal proceedings. Therefore, an examination for the primary purpose of obtaining evidence for use in disciplinary proceedings is not an inspection; it is a search and, if not authorized based on probable cause, is illegal.

The *MRE* authorizes commanders to inspect all or any part of a unit, organization, or installation, under their command, to determine the military fitness or good order and discipline of the unit, organization, or installation. Because of the distinction between searches and inspections stated above, it is extremely important to conduct inspections in an honest, forthright, impartial, and reasonable manner. If the inspector is aware of suspects before the inspection begins, the issue of search is raised. Remember, evidence obtained by a search without probable cause is normally inadmissible. If you have information that contraband or some other seizable item exists in a particular room and you cause an inspection because of this knowledge, the inspection will be found to be a “sham inspection,” and the evidence acquired will be inadmissible in a court-martial. If, during the course of a bona fide inspection, contraband, weapons, or other evidence is uncovered, such evidence may be seized and is admissible in a court-martial. In the event of such an occurrence, the recommended procedure is to halt the inspection, secure the area, and obtain valid authority (via AF Form 1176, Authority to Search and Seize) to search the rest of the area and seize the evidence. As stated before, consult the SJA before the installation commander executes the AF Form 1176.

The use of drug-detection dogs in common areas such as around cars in parking lots, dormitories, hallways, dayrooms, and in and around the squadron area is not considered a search. If, while in a common area, the detection dog indicates the presence of drugs, the area should be secured and an authorization to search should be obtained with the advice of the SJA.

### *Inventories*

Inventories may be conducted for valid administrative purposes, which include, (1) furniture inventories of dormitories and dormitory rooms, (2) inventories of an AWOL member's or deserter's property, and (3) inventories of impounded vehicles. It is lawful to seize unlawful weapons, contraband, and other evidence during a valid inventory.

### **Commander's Checklist**

- You are authorized to direct inspections and probable cause searches of persons and property under your command.

- Searches are examinations of a person, property, or premise for the purpose of finding criminal evidence.
- Inspections are examinations of persons, property, or premises to determine and ensure the security, fitness, good order, and discipline of the command.
- Searches may be authorized only under the following conditions:
  - When the suspect has been lawfully apprehended
  - When the person who owns the area to be searched gives voluntary consent
  - When the commander authorizes a search based on probable cause
- Probable-cause searches are based on a reasonable belief that the evidence or property sought is located on the person or place searched:
  - You should first try to obtain the written consent of the individual.
  - Consent must be voluntary.
  - You must consult the SJA when you execute AF Form 1176, Authority to Search and Seize.
- Inspections can be “announced” or “unannounced” and may be authorized without probable cause:
  - A search is authorized if not conducted for the primary purpose of obtaining evidence to use in a disciplinary proceeding.
  - Searches must be reasonable.
  - If you authorize an inspection based on information that contraband or other seizable items are within a particular room or premise, it will be a “sham inspection,” and the evidence seized will be inadmissible.

## **Reports of Survey**

REF: 18 United States Code 1361; AFI 23-220, *Reports of Survey for Air Force Property*; AFI 51-502, *Personnel and Government Recovery Claims*; AFI 36-704, *Discipline and Adverse Actions*

OPR: Commander; and Supervisor

OCR: Comptroller; and Staff Judge Advocate

### *Basics*

The report of survey (ROS) is an official report of the facts and circumstances supporting the assessment of financial liability for loss, damage, or destruction of Air Force property. The ROS serves as the basis for the government's claim for restitution. The ROS system is the method used for asserting a claim against military and civilian personnel having lost, damaged, or destroyed public property in possession of the Air Force. This system consists of a series of checks and reviews to ensure that justice is done to all parties.

The underlying premise is that all Air Force members and employees are responsible for the proper care and safekeeping of Air Force property. Commanders are responsible for real and personal government property under their control. Based upon that premise, Air Force members and employees can be held liable for loss, damage, or destruction of government property proximately caused by their negligence, willful misconduct, or deliberate unauthorized use.

*Purposes*

The ROS accomplishes four purposes:

1. It serves as a property-accounting document. A properly executed ROS is a suitable basis to support the dropping of property from prescribed records and adjusting inventories.
2. It serves as an instrument for establishing responsibility and liability for loss, damage, or destruction of Air Force property. Additionally, it is the basis for a claim against responsible individuals, and it may be the instrument by which all parties are absolved of liability.
3. The ROS serves as a method of prescribing corrective action to prevent recurrence of loss, damage, or destruction of Air Force property.
4. It is the authority for effecting the collection of indebtedness.

*Basic liability rules*

As a general rule, loss, damage, or destruction of all Air Force property is covered. The major exceptions to ROS include damage occurring during combat operations and most loss or damage to major weapons systems used in authorized operations or loss or damage occurring during aircraft accidents. Damage to rental vehicles is also excepted unless a contracting officer enters into a specific contract to make them available for government use (cars rented by members who are on TDY are not subject to the ROS system, whether or not the car rental is included on TDY orders). Property owned by another DOD component or nonappropriated fund instrumentation (NAFI) is processed under the other service's regulation or the NAFI regulation.

*Pecuniary liability*

Pecuniary liability is generally limited to a maximum of one month's base pay of the individual, but there is no limit on liability for accountable officers. Additionally, individuals who damage personal arms and equipment, or individuals who, through gross negligence or willful misconduct, damage assigned family housing fall under this same rule. You or the accountable officer responsible for the damaged property initiates the ROS process. If two or more persons are responsible for loss, damage, or destruction, each is held jointly and severally liable. If collection cannot be made from one of the liable parties, the remaining parties are still liable. The Air Force cannot collect more than the total amount of the loss or damage. The approving authority allocates how much will be collected from each party.

Individuals who damage government property while operating privately owned motor vehicles, boats, airplanes, or other conveyances

may be processed under the ROS system. Usually, the base legal office processes these incidents as claims under AFI 51-502. A ROS may be conducted as long as coordination occurs with the base legal office.

*Disciplinary action*

You may take appropriate disciplinary action, whether or not pecuniary liability is assessed. Disciplinary measures against military personnel can include administrative or punitive action. Civilians receive discipline under AFI 36-704, while 18 United States Code 1361, applies to anyone who willfully damages US property.

### **Commander's Checklist**

- Use the ROS to assert a claim against individuals who have lost, damaged, or destroyed Air Force property.
- The ROS serves (1) as a property-accounting document, (2) as a basis of claim against responsible individuals, (3) as a corrective action to prevent recurrence of damage or destruction, and (4) as the authority for collecting damages.
- Damage or destruction of all Air force property is covered except the following:
  - Damage occurring during combat
  - Most loss and damage to major weapon systems used in authorized operations or aircraft accidents
  - Damage to rental vehicles (some exceptions)
  - Damage to property of another DOD component or NAFI
- You or the accountable officer initiates the ROS process (AFI 23-220).
- The base legal office processes claims against individuals who damage government property while operating privately owned vehicles under AFI 51-502.
- You may take appropriate disciplinary action whether or not pecuniary liability is assessed.

### **Arrest by Civilian Authorities (United States Only)**

REF: AFPD 51-10, *Making Military Personnel, Employees, and Dependents Available to Civilian Authorities*; AFI 51-1001, *Delivery of Personnel to United States Civilian Authorities for Trial*; AFI 36-3208, *Administrative Separation Airmen*

OPR: Commander; and First Sergeant

OCR: Mission Support Squadron; Staff Judge Advocate; and Security Forces

The Air Force demonstrates its full support of civilian legal authorities by ensuring that military and civilian personnel do not use military assignments to avoid valid orders of civilian courts. When a member of your command is held by civilian



authorities and charged with a criminal offense or when civilian authorities request a member of your command, you are required to take certain actions.

First, if civilian authorities are holding the member, inform them that the person is a member of the Air Force. In this initial contact, gather information concerning actual charges brought against the member, circumstances surrounding the case, and the maximum possible sentence.

Whenever possible, arrange for the member's return to military control. In making these arrangements, you cannot say that the Air Force will guarantee the member's presence at a subsequent hearing, but you can indicate that the Air Force will make every effort to cooperate with civilian legal authorities in these cases. Unless you are personally willing to accept the potential consequences, do not post bond or personally guarantee any action by the charged member. However, you can make a statement as to the member's character or prior record of reliability if you have firsthand knowledge of those matters.

*When in custody of  
civilian authorities*

If the member is kept in custody of civilian authorities, you must contact the MPF at your base to prepare an AF Form 2098, Duty Status Change, or other appropriate form reflecting the member's duty status change from "present for duty" to "absent due to civilian confinement."

*When federal or  
state authorities  
request delivery of  
subordinate*

A commander exercising general court-martial jurisdiction or an installation commander, when authorized by the officer exercising general court-martial authority, may authorize delivery of a member of his or her command to federal or state civil authorities. Before doing so or if the member is already in civilian custody and is bound over for trial, you must direct the member in writing to report to a designated Air Force unit, activity, or recruiting office in the event the civilian authority releases him or her. Additionally, either you or your representative should personally counsel the member that a judge advocate (Air Force lawyer) cannot represent any Air Force member in a civilian criminal matter. However, a judge advocate will discuss the effects that the civilian offense may have within the Air Force (e.g., administrative discharge) with the member. A member may hire a civilian attorney, or, if he or she cannot afford one, may request the criminal court to appoint a public defender to provide free representation.

Inform the member that pleading guilty or receiving a conviction for a civilian criminal offense may subject him or her to involuntary administrative separation from the Air Force. Accordingly, you must obtain information from civilian authorities on the final disposition of the case. If the outcome results in a finding of guilty or an action that is tantamount to a finding of guilty, immediately contact the SJA to discuss appropriate administrative and disciplinary action.

### **Commander's Checklist**

- If you are notified that a member is being held by civilian authorities or if civilian authorities request delivery of a member for prosecution,
  - inform civilian authorities the person is a member of the Air Force,
  - gather information about the charges and circumstances surrounding the case,

- try to arrange to return the member to military control,
- if member remains in custody, contact MPF to change his or her duty status,
- notify the member of limitations on military legal representation and the effects of being convicted of a civilian offense,
- notify the member in writing, in accordance with attachment 1 to AFI 51-1001, to report to a designated Air Force unit if he or she is released from civilian confinement,
- inform the member that a guilty conviction may result in involuntary administrative separation, and
- advise the member that he or she may hire a civilian attorney or request that the court appoint a public defender.
- If federal or state authorities request delivery of a military member for prosecution,
  - contact the base SJA to coordinate with the general court-martial convening authority commander or designee
  - find out information from civilian authorities on final disposition of the case (see AFI 36-3208 for the format).

## **Protest and Dissident Activities**

REF: AFI 51-903, *Dissident and Protest Activities*; AFI 36-2706, *Military Equal Opportunity and Treatment Program*; AFI 51-904, *Complaints of Wrongs Under Article 138, Uniform Code of Military Justice*; AFI 36-2903, *Dress and Personal Appearance of Air Force Personnel*; AFI 31-213, *Armed Forces Disciplinary Control Boards and Off-Installation Liaison and Operation*

OPR: Commander; and First Sergeant

OCR: Unit-Training NCO; and Supervisor

Public demonstrations for and against every conceivable cause have always been part of the American political landscape. Such activities are firmly rooted in our history and cultural values of free speech, peaceable assembly, and the right to petition the government for a redress of grievances. The First Amendment of the US Constitution expressly protects these rights. For you, the difficulty in dealing with such activities comes in balancing the free-expression rights of service members and civilians with the needs of the Air Force mission. Included also are the duty to respect our civilian leaders and the need to maintain readiness, morale, good order, and discipline on military installations. You have inherent authority and responsibility to take action to ensure mission accomplishment and to maintain good order and discipline. This authority and responsibility includes placing reasonable and lawful restrictions on dissident and protest activities on military installations. Certain activities by military members are also restricted by law or regulation, whether conducted on or off-base, but you must preserve the service member's right of expression, to the maximum extent possible, consistent with good order,

discipline, and national security. To properly balance these interests, you must exercise calm, mature, and prudent judgment. It is also vitally important to consult with the SJA as soon as these questions arise, since they inherently involve constitutional and statutory legal issues. In appropriate cases, you may also want to confer with higher command authorities before initiating actions to restrict protest and dissident activities. You should be aware of restrictions placed on the following:

*Written or printed  
materials*

On-base distribution of written or printed materials, other than official publications, without permission of the installation commander is forbidden. Mere possession of such materials may not be prohibited unless otherwise unlawful. Unauthorized materials may be impounded if a member of the armed forces distributes or posts them, or attempts to do so, distribute or post. In most cases, you should not prohibit material simply because it is critical of the Air Force or the government of the United States. Air Force members may not write for unofficial publications during duty hours. Unofficial publications such as underground newspapers, while generally not prohibited, cannot be produced using government or NAF property or supplies, whether the member is on or off duty. Such publications may not contain language that violates the *UCMJ* or federal law if produced by military members or employees subject to those laws.

*Off-limits  
establishments*

Action may be taken to place certain establishments “off limits” pursuant to AFI 31-213. Such action may be necessary if off-base activities have a significant adverse effect on the health, morale, or welfare of military members. Examples include houses of prostitution, establishments where illegal drugs are distributed, businesses that engage in discrimination or fraud in their dealings with military members, and organizations that counsel military members to desert or refuse to perform duty.

*Groups and  
organizations*

Air Force members are prohibited from active participation in organizations that support supremacist causes; advocate illegal discrimination based on race, creed, color, sex, religion, national origin, or ethnic group; advocate the use of force or violence; or otherwise engage in efforts to deprive individuals of their civil rights. Such activities and groups that sponsor them are incompatible with military service. Active participation includes publicly demonstrating or rallying, fundraising, recruiting and training members, and organizing a group, holding office in it, or otherwise leading such an organization or group. Ordinary membership in extremist groups is not prohibited. However, you must consider a subordinate’s membership in such groups when evaluating or assigning that person. Membership may reflect poorly upon the judgment, professionalism, and leadership potential of those members.

*Demonstrations*

Demonstrations or other disruptive activities are prohibited on Air Force installations when they could, in the judgment of the installation commander, result in interference with or prevention of the orderly accomplishment of a mission of the installation or present a clear danger to loyalty, discipline, or morale of members

of the armed forces. In addition, Air Force members are prohibited from participating in demonstrations while on duty, in a foreign country, or in uniform, when the activities constitute a breach of law and order or whenever violence is likely.

*Contempt toward  
public officials*

Our tradition of civilian control of the military requires that all military members show proper respect toward certain public officials. This is particularly important in the case of commissioned officers who are responsible for leading and setting proper examples for other military members. Article 88, *UCMJ*, makes it a crime for an officer to use contemptuous words against the president, vice president, Congress, the secretary of defense, the secretary of a military department, the secretary of transportation (responsible for the Coast Guard), or the governor or legislature of any state, territory, commonwealth, or possession in which the officer is on duty or present. The offense may be committed in or out of uniform, and the officer need not be addressing a military audience. Recent cases have involved officers speaking at social engagements or writing letters for publication in editorial pages. Normally, contemptuous remarks made in purely private conversations are not prosecuted but should be discouraged by you.

*Grievances of  
military members*

Military members may complain and request redress of their grievances against actions of their commanders under Article 138, *UCMJ* (see also AFI 51-904), and the IG complaint system. Personnel may also petition or present a grievance to any member of Congress. Members may exercise all of those rights without fear of reprisal; you and your supervisors face serious disciplinary consequences (including *UCMJ* action for military members) if you seek reprisal against members or employees for exercising those rights. An open-door policy for complaints is a basic principle of good leadership. You must ensure that adequate procedures exist locally to identify complaints, and take corrective action as necessary.

*Practical  
considerations*

As stated above, the key to successfully handling cases of protest, dissent, or complaint is careful, reasoned judgment by you and sound advice from an SJA who is fully “read in” as soon as situations arise. You should also keep complete and detailed memoranda, because these cases often cross several changes of command and involve the same issues, individuals, and dissident or protest groups; therefore, good continuity is essential.

### **Commander’s Checklist**

- You must remember that all Americans, including military members, have basic free-speech rights under the Constitution, and you must strive to allow freedom of expression to the largest extent possible within the bounds of good order and discipline, respect for military and civilian authority, and preservation of national security.
- You may prohibit protest or dissident conduct by military members on or off base that would harm mission effectiveness, morale, welfare, or national security.

- You may prohibit on-base distribution of written or printed materials that present a clear danger to the loyalty, discipline, or morale of service members.
- You may prohibit on-base demonstrations or activities that interfere with the mission or present a clear danger to loyalty, discipline, or morale.
- Air Force members may not write for unofficial publications during duty hours, and they may not use government property or supplies to produce such publications.
- Air Force members are prohibited from taking part in demonstrations when they are on duty, in a foreign country, and in uniform—or when the activities are illegal or may result in violence.
- Air Force members are prohibited from *actively* participating in organizations that advocate discrimination based on race, creed, color, sex, religion, national origin, or ethnic group and should be discouraged from membership in such organizations since they are incompatible with military service.
- Although membership in discriminatory organizations is not prohibited, commanders must take membership into consideration when evaluating and assigning members.
- Air Force members and employees have the right to complain and petition for redress of grievances through the IG system; through Article 138, *UCMJ* (military only); or by filing complaints to members of Congress. Commanders and supervisors face serious disciplinary consequences if they seek reprisal against members or employees for exercising their rights.
- Commanders should consult the SJA as soon as practicable when issues of protest and dissent arise and should keep good notes and MFRs about the facts of the situation and their decisions on handling it.

## **Terrorism**

REF: AFI 31-210, *The Air Force Antiterrorism (AT) Program*

OPR: Commander

OCR: Air Force Office of Special Investigation; and Security Forces Squadron

*Air Force policy and  
regulatory guidance*

Terrorism is the calculated use of unlawful violence or threat of unlawful violence to inculcate fear. The protection of Air Force personnel from acts of terrorism is a command responsibility and must be thoroughly integrated into every unit's mission; however, individual members are also responsible for ensuring that their family members do not invite terrorist acts. AFI 31-210 outlines the Air Force AT program. Absolute protection against terrorist acts is impossible. Commanders must develop realistic protective plans and procedures based on the local situation. Each organization must implement physical-security procedures to protect against terrorism by installing physical-security equipment, implementing terrorist-threat conditions, and responding to terrorist acts. The

AFOSI investigates acts of terrorism against Air Force personnel and resources and collects and disseminates information about terrorist activities overseas. It also provides specialized counterterrorism and protective services to overseas commanders upon request under certain limited conditions.

#### **Commander's Checklist**

- Ensure that Air Force members and civilian employees who perform infrequent leave or TDY visits to foreign countries receive a briefing before departure about the nature of terrorism abroad and about precautions to take to counter terrorist threats.
- Ensure that personnel being assigned to physical threat or potential physical threat areas receive appropriate antiterrorism training before changing duty stations.
- Assess local threat and unique local vulnerabilities, and use the random-antiterrorism measures program.
- Require that personnel assigned to high-risk areas and/or high-risk billets attend formal training.
- Ensure that an installation or higher-level unit publishes an appropriate supplement to AFI 31-210 implementing unit-specific standards for force protection.



## **Administrative Leadership—Civilians**

*Our Air Force team is a total force—a mosaic of civilians, guardsmen, reservists, and active members.*

—Gen Ronald R. Fogleman  
Former USAF Chief of Staff

This chapter is about one of your most important resources—the civilian workforce. Civilians fill about one-third of all Air Force positions. They hold positions not requiring military members for reasons of law, training, discipline, combat, military background, or experience. A unified military-civilian team is essential to the mission and security of the United States.

When the military deploys on exercise or national emergency, civilians provide a nucleus of trained personnel that continues the administration and operation of the unit. Managing civilians requires knowledge of civilian-personnel programs, policy, and unique local contracts, making it imperative to consult with the base civilian personnel flight (CPF).

### **Career Management**

REF: AAFP 36-6, *Civilian Career Management*; AFI 36-601, *Civilian Career Management Program*; AFI 36-602, *Air Force Civilian Intern Recruitment*

OPR: Commander; and Supervisor

OCR: Civilian Personnel Flight; Air Force Personnel Center; and PALACE Compass Office

Internet: <http://www.afpc.randolph.af.mil/dpc/>

#### *Primary goal*

The Air Force manages careers of general schedule (GS) 11–15 officer-equivalent civilians through career programs representing functional specialties such as acquisition, logistics, safety, education, and so forth. A career management team, or PALACE team—which includes one or more functional and personnel representatives—centrally manages each career program Air Force–

wide. The team's primary goal is to develop employees with strong professional, technical, managerial, and administrative skills to satisfy current and future Air Force needs.

The base CPF previously handled most civilian career-management issues, but recently, the Air Force regionalized selected aspects of civilian-personnel management in the Directorate of Civilian Personnel Operations/Air Force Personnel Center (AFPC/DPC) at Randolph AFB, Texas, and named this new servicing process *PALACE Compass*. The location of civilian-personnel servicing at AFPC takes advantage of existing infrastructure and facilities along with the long-range plan for future integration of appropriate military and civilian-personnel programs and processes.

### **Commander's Checklist**

- The goals of civilian career management as described in AFI 36-601:
  - Identify and encourage qualified people to make a career in the Air Force
  - Provide employees opportunities to develop skills and progress through the organization
  - Offer a rewarding work experience that suits employees' abilities and desires while meeting the Air Force mission
  - Identify and staff key positions within each career program with exceptional performers
  - Ensure that career-broadening assignments and education relate to performance, ability, and potential

*Commander and supervisor responsibilities*

- Commander and supervisor responsibilities as listed in AFI 36-601:
  - Ensuring that eligible employees register in a career program
  - Assisting in identifying exceptional performers
  - Ensuring that interns assigned to the organization meet the terms of their training program

*Air Force-funded intern programs*

- AFI 36-602 includes information on the three Air Force centrally funded intern programs:
  - PALACE Acquire
  - PALACE Knight
  - COPPER CAP

### **Equal Employment Opportunity and Affirmative Employment Programs**

REF: AFPD 36-2, *Employment and Affirmative Employment*; AFI 36-1201, *Discrimination Complaints*; Local Union Contract

OPR: Commander; Supervisor; Civilian Personnel Flight; and Equal Employment Opportunity Office



General  
Air Force policy

The Air Force may not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, or mental or physical handicap.

### **Commander's Checklist**

- Commander and supervisor responsibilities in Equal Employment Opportunity (EEO) and Affirmative Employment Program (AEP):
  - Ensuring that no employee or applicant for employment is discriminated against
  - Maintaining awareness of the intent and requirements of AEP plans
  - Ensuring that EEO principles are integrated into unit personnel-management processes and considered in all employment decisions such as promotions, reassignments, and training
  - Supporting and attending minority-group activities such as community-relations activities, meetings, workshops, conferences, and job fairs
  - Participating in self-evaluation of affirmative employment
  - Monitoring accomplishment of EEO and AEP objectives
  - Promulgating appropriate policy statements within the unit.

AFI 36-1201 outlines procedures that employees or applicants may use to file a complaint of discrimination. The chief EEO counselor works directly for the wing commander and is responsible for processing complaints.

## **Grievance Procedures**

REF: AFD 36-12, *Dispute Resolution*; AFI 36-1203, *Appeal and Grievance Procedures*; AFI 36-1201, *Discrimination Complaints*; Local Union Contract

OPR: Commander; and Supervisor

OCR: Civilian Personnel Flight

General policy

A grievance is a request for personal relief in a matter of concern or dissatisfaction that is subject to Air Force control. Air Force policy is to resolve grievances and/or concerns that adversely affect the mission as quickly and fairly as possible. At least once a year, inform civilian employees of their right to file a grievance.

Informal resolution is encouraged at any stage of the grievance procedure. When you discuss possible relief, remember that flexibility and open-mindedness are critical. If you reach a stalemate, try to offer mutually agreeable alternatives.

### **Commander's Checklist**

- Informal, alternative, and formal grievance procedures can be complex and vary according to local union agreements; consult with CPF's employee-relations section for guidance.

- The grievant has the following rights:
  - Freedom from restraint, coercion, discrimination, or reprisal in presenting a grievance
  - Accompaniment and advice of a representative of his or her choosing unless there is some conflict of interest
  - A reasonable amount of time to present the case
- The grievant has the following responsibilities:
  - To comply with time limits
  - To furnish sufficient detail to clearly identify the grievance
  - To specify the personal relief being requested
- You should meet immediately with the employee to discuss the grievance and attempt to resolve it through correction, adjustment, or other action. Be sure you reach a clear understanding with the employee regarding
  - the matter or issue that is the subject of the grievance,
  - whether or not the complaint is being filed under grievance procedures, and
  - the personal relief requested.
- If resolution is not possible, informally advise the employee in writing, with assistance from the employee-relations section, to ensure that all of the employee's rights are covered. Include the following in your response:
  - The grievance issues and attempts you made to resolve them informally
  - The fact that you advised the employee that he or she may file a formal grievance, and that you stated the number of days available
  - The fact that you specified that the grievance must be written, signed, and must include the following as a minimum:
    - Identification of the matters at issue
    - Specification of the personal relief requested
- Words of caution and advice:
  - Document every phase of this process, from knowledge of the initial problem through the formal grievance process.
  - If the employee presents anything orally, immediately write an MFR of the conversation.
  - Keep the employee-relations section informed at every step of the process.

## **Labor-Management Relations**

REF: AAFP 36-7, *Employee and Labor-Relations Management*; AFI 36-701, *Labor-Management Relations*

OPR: Commander; and Civilian Personnel Officer

Civilian employees, including those paid from NAF funds, may be members of any labor organization that does not advocate overthrow of the government, practice discrimination in membership, or reserve the right to strike against the government. The law requires the Air Force to pursue a policy of affirmative willingness to deal with labor organizations. A labor-management agreement is a labor contract negotiated under exclusive recognition, having the force and effect of a regulation; both parties must observe its provisions.

### **Commander's Checklist**

- The Air Force practices the following policy in labor-management relations:
  - Employees have the right (without fear of penalty or reprisal) to form, join, and assist a labor organization or to refrain from such activity.
  - Management officials, supervisors, and employees engaged in nonclerical personnel work may join any labor organization, but they may not act as representatives or participate in management of the union.
  - Employees may solicit membership of other employees in the work area during nonduty time.
- Recognition and rights of labor organizations:
  - Subject to normal security regulations, labor-organization representatives who are not Air Force employees may solicit membership and distribute literature in nonwork areas and during nonduty time of the employees involved.
  - A labor organization is granted exclusive recognition only when designated and selected by a majority of eligible employees.
  - When employees have chosen a union, Air Force management shall establish cooperative and constructive relationships with it.
  - The union holding exclusive recognition is entitled to act for and negotiate agreements covering all employees in the unit without discrimination.
  - The Air Force activity and the union are obligated to meet at reasonable times and confer in good faith regarding personnel policies, practices, and matters affecting working conditions.
- Air Force management rights:
  - Air Force management retains the right to determine work methods, assign work, and make other decisions basic to efficient management and accomplishment of the Air Force's national security mission.
  - Air Force management retains the right to direct its employees; to hire, promote, transfer, assign, and retain employees; to take disciplinary action against employees; and to take whatever actions may be necessary to carry out the Air Force mission during an emergency.
- Responsibilities of management officials, supervisors, and civilian-personnel officers:
  - Management officials and supervisors remain neutral in matters concerning union membership and representation matters; they represent management in day-to-day work relationships and deal with union representatives on matters within their jurisdiction.

- Labor-management relations officers are the principal advisors to commanders and staff in labor relations. They represent commanders with unions and outside authorities and are responsible for training management officials and supervisors in their duties, responsibilities, and obligations in the labor-relations program.
- Members of management may not restrain, coerce, or interfere with an employee's rights; they also may not encourage or discourage membership in a union by discriminating in hiring, tenure, promotion, or other conditions of employment. Management cannot take negative action against any employee who exercises his or her rights within the union.
- The union may not interfere with, restrain, or coerce employees in exercising their rights or attempt to induce management to coerce employees in the exercise of their rights; the union cannot take any form of reprisal against a member, engage in any sort of work stoppage, or discriminate.

### **Leave Administration (Civilians)**

REF: AFI 36-815, *Absence and Leave*; and Local Union Contract  
 OPR: Commander; and Supervisor  
 OCR: Civilian Personnel Flight

#### *General leave policy*

You and your supervisors must ensure that the civilian employee's duty status is clear at all times. Determining whether a specific type of absence is chargeable leave, excused without charge to leave, or considered official duty can be difficult. The following provides the basics of annual and sick leave, excused absences, and areas where you have some latitude. The granting of leave and considering the viability of various absences is a significant responsibility.

#### *Annual leave*

You have the authority to approve or disapprove annual leave requests to meet the needs of the mission and to take appropriate action when employees abuse leave privileges.

#### *Sick leave*

Civilians have the right to use sick leave. Civilians earn four hours of sick leave per pay period regardless of years of service, and there is no limit on the amount of leave accumulated or carried forward to the next year. In a survey of the 1995 Air War College class, students indicated that abuse of sick leave caused some frustration for management.

Absences for sickness over three days or employees' use of sick leave to care for family members under the Federal Family Leave Act (three days or longer) require employees to furnish a medical certificate unless the supervisor waives the requirement. The statement should be specific as to the employee's health or the family member's condition when requiring care after the third day.

If you have any doubts as to the validity or adequacy of sick leave, check with CPF for guidance.

### **Commander's Checklist**

- When an employee requests leave, consider the projected workload and staffing requirements.
- The leave year for civilians begins in January. It is mandatory to establish a leave-forecast schedule early in the year to allow employees to select vacation time, permit scheduling around known TDYs, provide a tool for balancing leave against workload, and allow time to resolve scheduling conflicts. Except in an emergency, annual leave must be requested and approved in advance.
- Annual leave accrues based on years of service. An employee who works a 40-hour week accrues leave as follows:
  - Less than three years' service—four hours per pay period
  - More than three years but less than 15 years—six hours per pay period
  - More than 15 years—eight hours per pay period
- Charge annual leave in one-hour or 15-minute increments, depending on your location. Check with your CPF to see which applies. An employee may carry over only 240 hours of annual leave to a new leave year. Annual leave in excess of 240 hours is forfeited. In designated overseas locations, employees may carry over 360 hours per year. Encourage your supervisors to ensure that civilians have the opportunity to take all excess leave before the end of the year.
- Allow sick leave only under the following circumstances:
  - Incapacitation of an employee due to sickness, injury, pregnancy, or vaccinations
  - Medical, dental, or optical examinations or treatment
  - Exposure of an employee to a disease requiring quarantine or isolation as identified and required by a local health authority
  - Employee participation in drug- or alcohol-counseling programs
  - Certain adoption-related events
- The Federal Family Leave Act is very broad and allows use of sick leave in many areas related to an employee's family. Check with CPF for guidance on this act.
- Excused absences are the one area within which commanders and supervisors have some latitude to allow absences without documentation or charge to leave. Excused absences are typically no longer than four hours. Supervisors are allowed to grant excused absences only for specific actions as described in AFI 36-815 or as determined by the installation commander.
- A word of caution and advice:
  - Make sure you and your alternate understand the requirements.
  - Most local contracts have parameters on leave and absences.
  - Sick leave is one of the more common problems concerning civilian leave; call the CPF for help.

## Merit Promotion Program

REF: Air Force Manual (AFMAN) 36-203, *Staffing Civilian Positions*  
OPR: Commander; Civilian Personnel Flight; and Air Force Personnel Center  
OCR: Supervisor

*Air Force  
promotion policy*

The Air Force civilian-promotion policy is based on strict compliance with merit principles. A sound promotion program, fully supported and properly administered by supervisors and employees at all levels, is essential to staffing an effective, highly motivated civilian workforce.

Promotions and changes to positions with promotion potential are effected on a competitive basis. Detailed procedures established as guidelines ensure that selections are not based on preferential treatment or other nonmerit factors. The following aims and principles form the basis of the merit-promotion system.

### Commander's Checklist

- The program is directed toward
  - accomplishing mission goals by staffing positions with high-quality, highly qualified employees;
  - providing career opportunities and ensuring that all employees learn about promotion opportunities;
  - ensuring management's awareness of high-quality employees who have the capacity to perform in more responsible assignments;
  - fostering a program that encourages employees to accept positions overseas or away from their homes;
  - placing employees in positions for which they are best qualified; and
  - encouraging employees to improve their performance and develop their knowledge, skills, and abilities (KSA).
- All employees within a designated area of consideration who meet minimum qualification standards, along with legal or regulatory requirements imposed by the Office of Personnel Management (OPM), are considered for promotion.
  - Identify areas of consideration within which employees are identified to compete for advancement, established and adjusted as necessary, to provide management an adequate number of high-quality employees from whom to choose, and provide employees with adequate opportunities for promotion.
  - Apply appropriate job-related criteria with fairness in evaluating promotion candidates to differentiate among their qualifications and to identify those best qualified for advancement.
  - Make selections without discrimination and without favoritism based on personal relationships or patronage.

- Realize that it is up to the supervisor advertising the position to offer it to candidates outside the Air Force.
- Give consideration to input from employees, employee groups, and recognized labor organizations in developing and establishing merit-promotion procedures.
- Be aware that promotions and placements into positions with known promotion potential are usually competitive. Promotions without competition are authorized with due consideration to recognized merit principles.
- Keep employees informed about the promotion program, the provisions and procedures for promotion plans affecting them, eligibility requirements, advancement opportunities, and ways to take advantage of those opportunities.

*Identification,  
evaluation, and  
interviewing*

- The Job Analysis/Promotion Evaluation Pattern (PEP) process develops an objective statement of position requirements against which employees are evaluated for promotion.
  - A job analysis will identify essential KSAs required to successfully perform the duties of the position.
  - The PEP states the job requirements and helps rate and rank candidates during the screening process.
- Employees who meet basic eligibility requirements are rank-ordered by AFPC.
- The civilian performance and promotional appraisal systems are both used for ranking employees under the merit promotion system.
- The supervisor or panel interviews qualified applicants, selects the best candidate, and informs those interviewed of final selection.
  - CPF must review and approve the interview questions.
  - Local plans or negotiated agreements will specify the appropriate requirements.

## **Performance Management Program**

REF: AFI 36-1001, *Managing the Civilian Performance Program*  
 OPR: Commander; and Supervisor  
 OCR: Civilian Personnel Flight

*The performance  
management  
program*

Appraising civilian performance and maintaining discipline is a systematic process by which commanders and supervisors integrate planning, assigning, and executing work by civilians with civilian-personnel performance appraisals for pay, awards and promotions.

The Air Force recently made significant changes to its civilian performance-appraisal program, including the development of new forms, rating standards, and the requirement for feedback. In addition, some organizations have unique civilian rating systems;

you will need to check with the local CPF to determine the specifics of performance management at each base.

### **Commander's Checklist**

- The Air Force appraisal period is 1 April through 31 March.
- The program requires written performance plans containing critical position-performance elements and standards for evaluation of overall performance for the position. AF Form 860, Civilian Performance Plan, and AF Form 1003, Core Personnel Document (CPD) are used for this purpose.
- A discussion of the performance plan at the beginning of the appraisal period is required as well as at least one progress review during the midpoint of the appraisal period; such feedback is documented on AF Form 860B, Civilian Progress Review Worksheet.
- At the end of the appraisal period, employees are rated using AF Form 860A, Civilian Rating of Record, and assigned a rating of "acceptable" or "unacceptable."
  - Employees must meet standards on all performance-plan critical elements in order to earn an "acceptable" rating.
  - If an employee receives an "unacceptable" rating, the supervisor is required to take administrative action.
- Commanders recognize civilian personnel for superior performance by granting cash and/or time-off awards. There are three major types of cash awards:
  - Only GS employees may receive a quality step increase (QSI) but solely in conjunction with the performance-appraisal cycle. This award is an increase to the next pay step without interrupting the waiting period for the next annual step increase.
  - All employees are eligible for a performance award when they are rated at satisfactory or better. The award is a one-time payment at a percentage of the annual salary and must be given in conjunction with the performance appraisal.
  - Employees are eligible for a Notable Achievement Award at any time. The award is based on exemplary acts, services, or performance not tied to the performance-rating cycle. You should submit nominations within 30 days after the end of the period for which the award is recommended.

### **Position Classification and Descriptions**

REF: AFPD 36-14, *Position Management and Classification*  
OPR: Commander; and Supervisor  
OCR: Civilian Personnel Flight  
Internet: <http://www.afpc.randolph.af.mil>



*Purpose*

The purpose of position classification is to allocate a civilian position to a pay plan or system within an occupational series, grade, and title promotion. The authority to classify civilian positions is the responsibility of the OPM director, whose authority is delegated to the wing commander, who in turn delegates to the CPO and position-classification specialists, who perform the actual classification of civilian positions on behalf of the commander. When using AF Form 1378, Civilian Personnel Position Description, include the principal duties, responsibilities, and relationship of the position for the classification action requested.

**Commander's Checklist**

- An element of the civilian personnel classification program, position description (PD) officially assigns duties and responsibilities, and determines classification and qualification factors. The CPD is used to integrate duties and responsibilities, performance plan, and recruiting KSAs.
- Proper and timely classification of positions supports the principle of equal pay for substantially equal work.
  - Classification requires participation between CPF and supervisors, who should use the Air Force Personnel Management Information Support System (PERMISS), located on the AFMPC Web site.
  - Classification promotes economical position structuring and grading consistent with principles of position management based on OPM's standard core documents.
- The Air Force has two major categories of appropriated-fund positions:
  - Congress sets GS-position salary rates for worldwide application, based on the principle of equal pay for equal work. Various classes of GS positions are defined in standards by kind of work, level of difficulty, responsibility, and knowledge required to perform work.
  - Federal wage system (FWS) positions are those in which personnel perform work in recognized trades, crafts, or unskilled, semiskilled, or skilled manual-labor occupations. Positions include supervisory positions that have trade, craft, or labor experience and knowledge as the chief requirements.
- Classification specialists review assigned duties and responsibilities for conformance to the unit manning document (UMD) authorization and other established positions, and make a comparative analysis with appropriate classification standards as published by OPM.
  - Classification specialists assign (title, series, and grade) and establish pay ranges for prospective employees. Positions or jobs—not employees—are classified.
  - Once positions are established, they are subject to annual, biannual, or other reviews.
- After the classification specialist analyzes the position description, it is forwarded to the immediate supervisor for review and certification.
- Review and certification are statutory requirements relating to appointment and payment of public funds.

- The supervisor must provide a copy of the PD to the incumbent and obtain acknowledgment of acceptance and understanding of what is required in respect to duties and responsibilities listed in the description.
- Employees who are dissatisfied with their position classification may appeal the classification decision. A dispute between an employee and the supervisor concerning the description of duties assigned to the position is not a classification appeal. Matters involving the accuracy of PDs are resolved through negotiated grievance procedures.

### **Standard of Conduct and Disciplinary Actions for Unacceptable Performance**

REF: AFI 36-703, *Civilian Conduct and Responsibility*; AFI 36-704, *Discipline and Adverse Actions*; Local Union Contract

OPR: Commander; and Supervisor

OCR: Civilian Personnel Flight; and Staff Judge Advocate

*Commanders' and  
supervisors'  
responsibilities*

You must be aware of the standards of conduct for civilian employees and must follow regulations in administering fair, impartial, uniform, and proper adverse actions and disciplinary programs when standards are not met. Disciplinary actions for unacceptable performance can range from verbal counseling to removal for cause. Documentation of disciplinary actions is critical, regardless of severity. As inappropriate behavior continues or degrades, you must consider more severe disciplinary actions after coordination with CPF's employee-relations section. AFI 36-704 includes suggested penalties for infractions you may encounter and procedural protections for disciplinary actions and adverse actions. You and your supervisors must observe the employee's right to union representation.

#### **Commander's Checklist**

- You and your supervisors must be aware of the standards of civilian conduct described in AFI 36-703. A few key items are listed here. Refer to AFI 36-703 for a complete listing.
- Employees are obligated to follow orders and instructions.
- Employees are expected to comply with reasonable apparel and grooming standards that derive from considerations of health, safety, and type of position occupied.
- Employees are authorized to participate in public or civic activities to support or oppose causes, policies, or programs of the government as long as participation does not interfere with mission accomplishment, bring discredit to the Air Force, or interfere with the duty performance of other employees.
- Employees are expected to discharge their financial obligations in a timely manner.

- Employees are obligated to be present for duty unless there is an authorization for absence.
- All employees share responsibility for maintaining professional relationships. You must take appropriate corrective action IAW AFI 36-704 whenever unprofessional relationships impede the efficiency of the service or adversely affect mission performance.
- AFI 36-810 outlines the Civilian Substance Abuse Prevention and Control Program to help maintain standards of conduct and performance. Civilian employees of the Air Force must refrain from using illegal drugs whether they are on or off duty. Use of illegal drugs is inconsistent with the high standards of performance, military discipline, and military readiness necessary to accomplish the Air Force mission.
- No form of discrimination or sexual harassment will be tolerated. AFPAM 36-2705 states that the Air Force will conduct its affairs free from unlawful discrimination and harassment.
- Disciplinary actions commanders may take against civilian employees include oral admonishments, reprimands, suspensions, and removal.
  - Oral admonishments
    - Formal and least severe punishment
    - Not written, including only an interview between the supervisor and employee
    - Annotated AF Form 971 after supervisor's admonishment
  - Reprimand
    - Repeated for lesser infractions to improve conduct
    - Considered a severe action by CPF, affecting the employee's career
    - Written and presented by letter; stays in the employee's official record for two years
  - Suspension
    - Places an employee involuntarily in no-pay, nonduty status
    - Very severe disciplinary action; has a major financial impact on the employee
    - Last step in process before removal; cannot exceed 30 days
  - Removals-for-cause procedures vary depending upon whether an employee is working in the initial probationary period or is a career employee.

### **Supervision of Civilian Personnel**

REF: AFPAM 36-106, *Supervisor's Records*; AFI 36-102, *Basic Authority and Responsibility for Civilian Personnel Management and Administration*; and AFI 36-1004, *Managing the Civilian Recognition Program*

OPR: Commander; and Supervisor

OCR: Civilian Personnel Flight; and Air Force Personnel Center

*Commanders' and  
supervisors'  
responsibilities*

Supervision of civilian employees requires the same basic principles as supervision of military personnel. However, since different regulations and laws govern civilian personnel, commanders and supervisors must understand the special procedures for filling positions, promoting, and disciplining personnel. As a minimum, management must give supervisors the authority and responsibility to manage their civilian employees.

**Commander's Checklist**

- Recognize superior performance. AFI 36-1004 discusses a wealth of options for recognizing civilian employees beyond performance awards associated with annual appraisals.
- Recommend employees for promotion and reassignment.
- Assign duties, and certify accuracy of PD and core document.
- Establish work standards, and evaluate employee performance and conduct.
- Initiate corrective action when performance or conduct is unacceptable.
- Identify training needs, conduct on-the-job training, and evaluate training results.
- Resolve complaints and grievances, and maintain discipline.
- Make personnel-management decisions based on mission needs and control costs.
- Know that Air Force policy is to keep and maintain the following records at the lowest supervisory level of personnel-management responsibility:
  - Position descriptions
  - Training records
  - Leave schedules
  - Debt letters
  - File of pending actions
  - Employee work plans
  - Employee appraisals
  - Supervisor's employment brief
- Supervisor's employee brief
  - The brief contains vital employment information.
  - The information is for the supervisor's use, but the employee has a right to review it.
  - The brief is important because the supervisor uses it to compile a record of employee's conduct, performance evaluations, reprimands and commendations, debts, and complaints that may be useful or necessary in making decisions and work assignments.
  - The brief goes from the losing to the gaining supervisor when the employee transfers to another position at the same installation.
  - When a supervisory change takes place, the brief transfers to the new supervisor.



## **Decision-Making Tools for a Commander**

Commanders make decisions. There will often be little time for reflection or data gathering to guide you toward the correct decision. When time allows a focused effort, use decision making. Decision-making tools range from simple quick-check sheets to more complex control charts. These tools give hard data or generate a structure around which commanders can base an informed decision.

### *Brainstorming*

*Best Used.* Use brainstorming when creativity is required to solve a problem in a new way or to overcome old ways of doing business.

*How Used.* Brainstorming harnesses the creativity of a team to generate a large number of innovative, spontaneous ideas. In a brainstorming session, the team leader writes a question on a board or overhead projector for ready-reference by the team. Record each idea the team gives.

*Structured and Unstructured.* These are two types of brainstorming: Structured brainstorming requires each team member to state an idea in a rotation order. A team member may pass during any given rotation. Structured brainstorming encourages participation from all members, not just the most outspoken. Unstructured brainstorming promotes the free flow of ideas from team members without holding to a rotation order. This method maximizes the synergy of free-flowing ideas but is subject to takeover by the loudest and most forceful team members. In both cases the key is to encourage all team members to identify creative solutions without fear of criticism. The team must note all ideas, regardless of perceived merit, and build on each member's input. Criticism blunts the creativity sought by brainstorming. Lastly, a brainstorming session should be brief—normally under 20 minutes. Uses of brainstorming include identifying ideas for improvement opportunities, identifying causes of problems, and identifying steps within a process to aid in the development of a flowchart.

### Flowchart

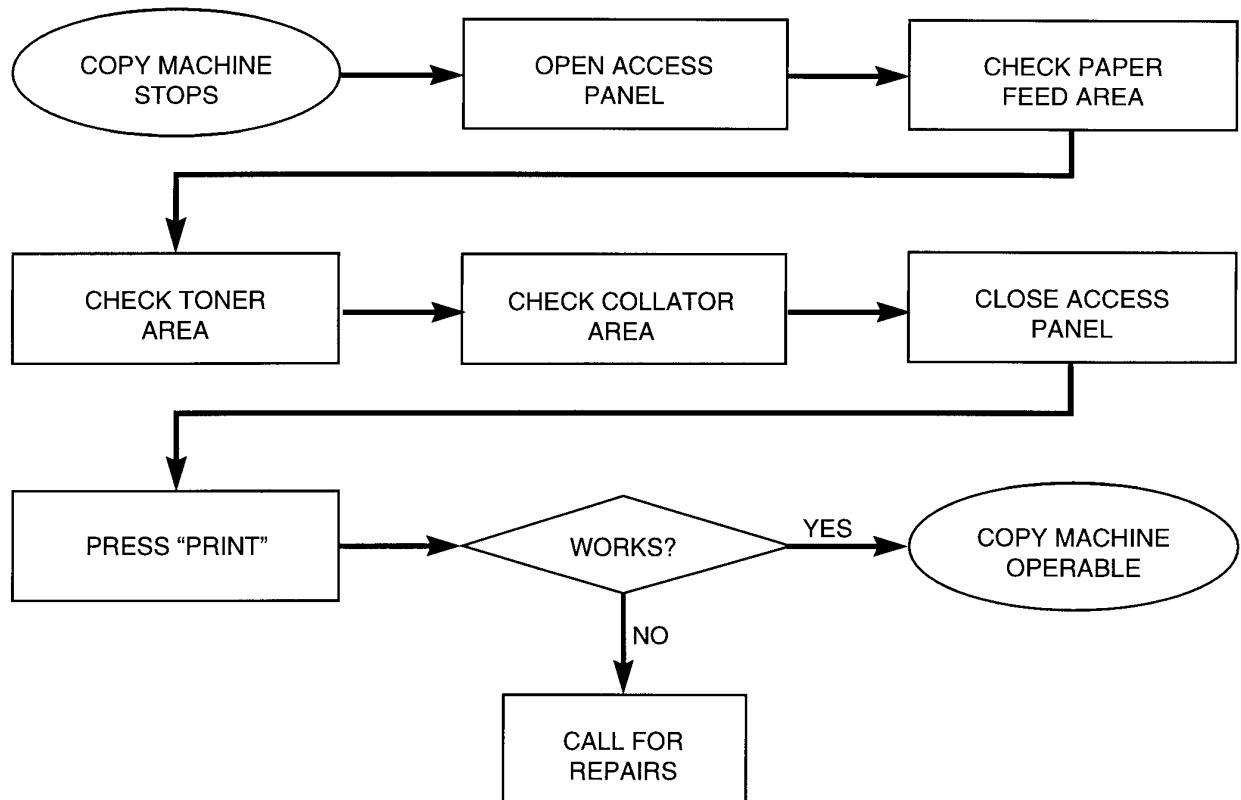
**Best Used.** Use a flowchart to visualize and better understand a step-by-step process flow.

**How Used.** The flowchart is a graphic representation of the steps within a process (fig. 2). It helps you and your team understand the existing process, locate areas within the process that can be improved, document changes in a process, show the relationships between steps within a process, and identify key stages of a process. A team pieces together a flowchart on a whiteboard or flipchart by using the brainstorming technique to accurately record the steps in a process. The flowchart begins with the *input*, continues with sequential *tasks* or required *decision points*, and ends with the *output*. As in the brainstorming technique, the overall process under analysis should be clearly written out and understood by all team members. The sequence of steps within the process may change during the flowchart development as the team delves into the details of the process. In the end, the commander can use the flowchart to pinpoint specific steps requiring additional resources, manpower, or monitoring to improve the process.

### Check Sheet

**Best Used.** Use a check sheet to see simple trends based on hard data.

**How Used.** The check sheet tracks how many times a particular event happens over a predetermined time. It identifies trends by



**Figure 2. Flowchart for Analyzing Inoperable Copy Machine**

using the frequency of occurrence (table 3). You and your team determine what variables merit monitoring and measurement. Next, designate individual(s) to collect the data and specify the length of time. A check sheet is a good tool because it allows you to grasp trend data quickly. Since a check sheet is normally used to measure problems or undesirable occurrences, the individuals who gather the data must be free from fear of retribution from peers or supervisors for measuring data which will point to problems. For example, in table 3 the flight-controls mechanics may feel threatened by data showing that flight controls have a high failure rate. In summary, check sheets can be used to obtain data for the evaluation of a process, to obtain data to check the results of improvement efforts, and to convert raw data into more useful and informative formats such as charts and graphs.

**Table 3**  
**Example of a Check Sheet**

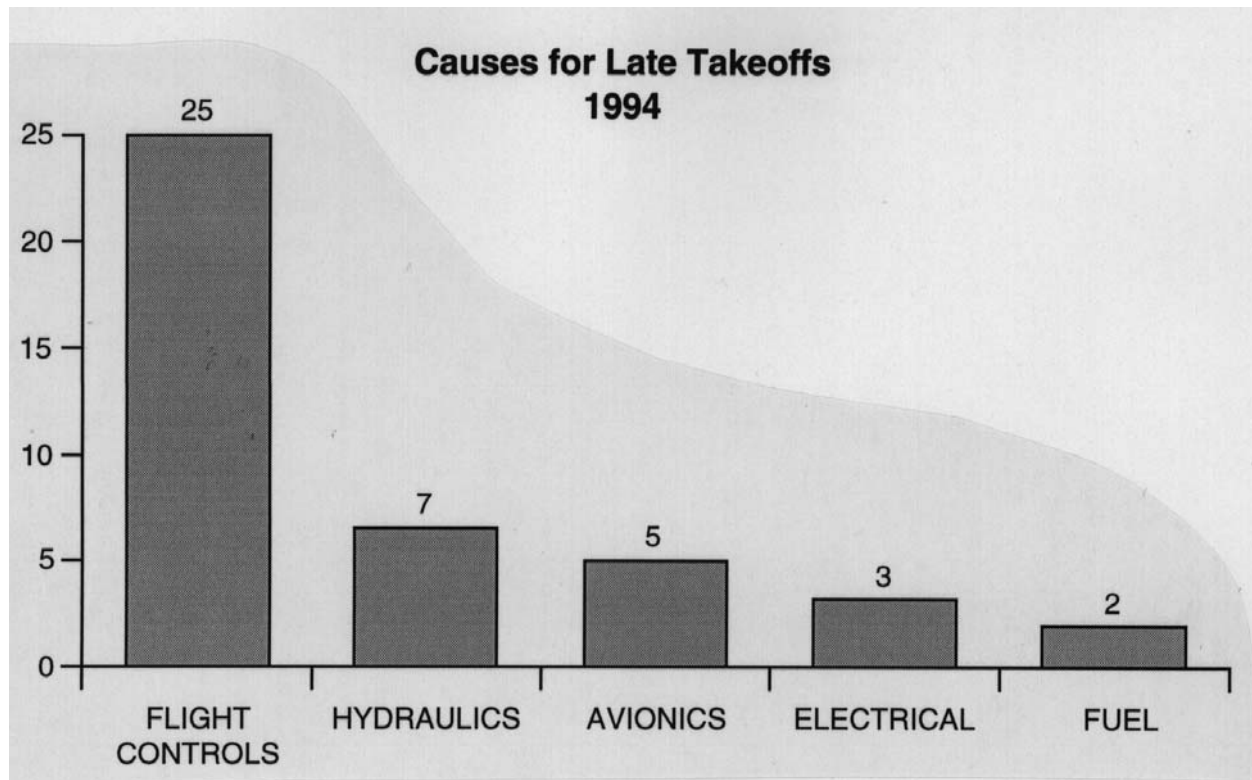
EVENT PROBLEMS WITH:	TALLY	TOTAL
FLIGHT CONTROLS		15
HYDRAULICS		7
AVIONICS		4
ELECTRICAL		3
FUEL		2

#### *Pareto Chart*

*Best Used.* A Pareto chart, which identifies root causes that have the greatest impact on a problem, allows one to focus on scarce resources and fix the most significant causes.

*How Used.* The Pareto chart derives its name from the Pareto principle, which states that 80 percent of a problem originates from 20 percent of the sources. It is a bar chart that graphically and sequentially depicts various factors that contribute to a specific problem according to importance. The largest single contributing factor is arranged first, the next most significant factor second, and so on. This chart aids in the analysis of a problem when the problem categories are listed along the horizontal axis and the frequency is listed along the vertical axis.

In addition to identifying root causes with the most impact on a problem, the Pareto chart helps in the selection of improvement opportunities and checks the results of improvement efforts by comparing before-action and after-action data, such as the relationship between late takeoffs due to maintenance problems in 1994 (fig. 3). The biggest contributor by far was flight control malfunctions. This chart helps to address the problem by isolating the major cause, allowing them to be worked.



**Figure 3. Example of a Pareto Chart**

#### *Run Chart*

*Best Used.* Use run charts to observe patterns or cycles of occurrences over time.

*How Used.* The run chart shows trends that occur in a process over longer periods. The value of this tool is that it preserves the time order of the occurrence, which may be important when analyzing data (fig. 4). The team or its designated representative should measure the data over time to gain insight into the data's pattern or cycle. The *Memory Jogger* suggests collecting between 20 and 25 data points in order to see patterns or cycles. The time or sequence is always plotted on the horizontal axis while the measurement of the data is on the vertical axis. Calculating the mean, or average, over time gives insight into whether the process is out of control or if data variation is insignificant. Use the run chart to evaluate the stability of a process, recognize patterns in a process, and document changes over time. The example shows a trend between time of year and flight-control problems. In colder months flight controls tended to malfunction more often.

#### *Cause-and-Effect Diagram*

*Best Used.* Use a cause-and-effect diagram to identify detailed, root causes of a problem.

*How Used.* Sometimes called a fishbone diagram because of its appearance, the cause-and-effect diagram illustrates the relationship between a problem or goal (effect) and potential contributors (cause). A team can base construction of a cause-and-effect



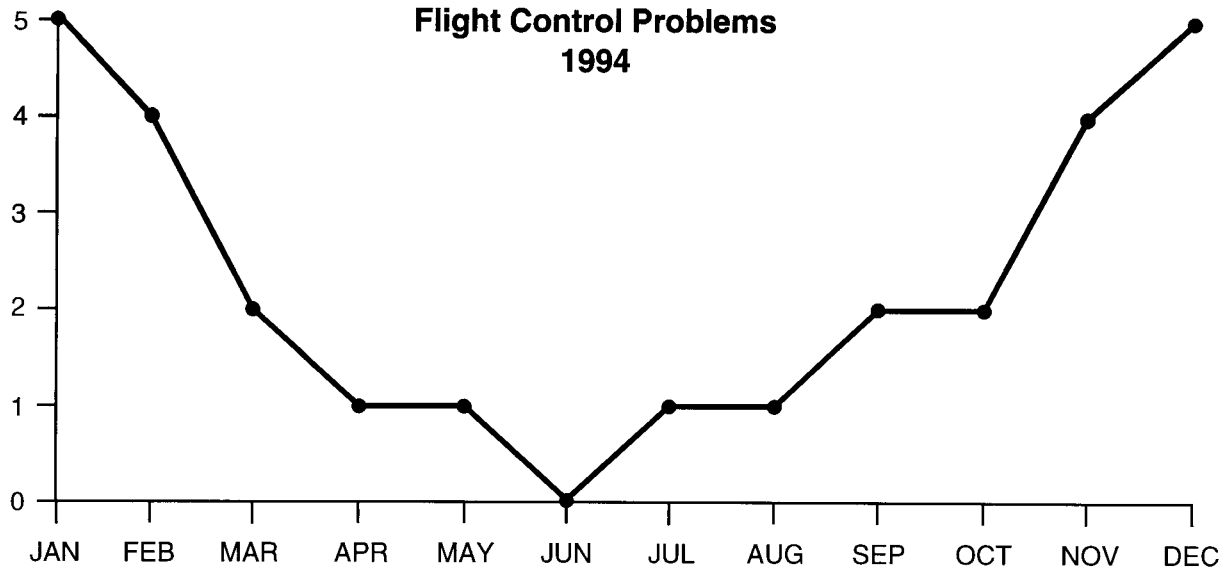


Figure 4. Example of a Run Chart

diagram on a brainstorming session in order to fill out the diagram. The structure of the diagram includes a statement of the problem at the right, or head, of the diagram and the causes of the problem along the bones of the diagram. Usually each bone is a specific category listing details. Examples of categories for a production-process area are methods, materials, environment, people, and machines (fig. 5). The cause-and-effect diagram will also identify areas where data is lacking.

#### Histogram

**Best Used.** Use a histogram to interpret a large amount of data collected over time and to determine if the distribution of data is acceptable.

**How Used.** The histogram is a bar chart that displays the distribution and variability of a single measurable characteristic such as weight, speed, or length. Normally a large number of data points should be collected before distribution of data can be accurately determined. Between 50 and 100 data points are usually satisfactory. The bar chart is built using a reasonable number of intervals (for example, table 6 has seven intervals of 20 pounds each). The bar chart is studied to find out where the data is centered along the distribution and whether the data variation is too spread out. The histogram is used to pictorially present the operation of a process, to compare actual measurements against anticipated data, and to show process stability (or instability). For example, a histogram can be used to examine the weight distribution of officers in a unit by pointing out that the data variability runs from 100 to 240 pounds and that the data is centered at 161 to 180 pounds (fig. 6).

#### Control Chart

**Best Used.** Use a control chart to continually monitor a process using sample data selected randomly on an ongoing basis.

## Potential Reasons for Poor Photocopy Quality

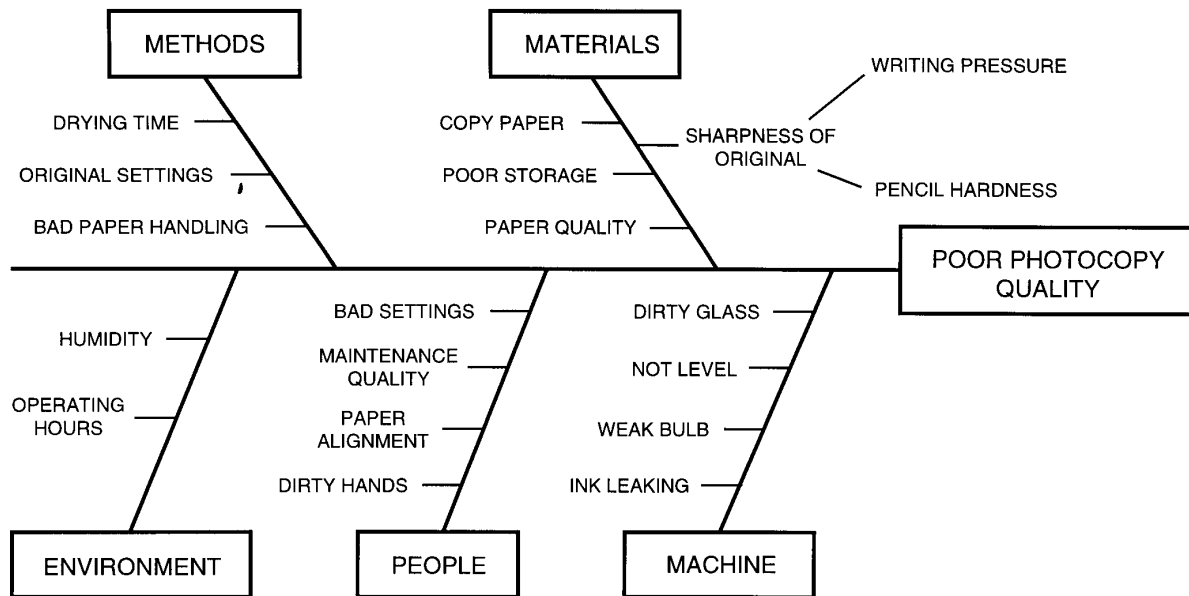


Figure 5. Example of a Cause-and-Effect Diagram

*How Used.* The control chart shows the variability of a process over time. Many types of control charts are complex tools that may require statistical experts to construct and analyze.

### Scatter Diagram

*Best Used.* Use a scatter diagram to substantiate a suspected relationship between two variables.

*How Used.* The scatter diagram displays the relationship between two variables plotted on horizontal and vertical axes (fig. 7). As with the histogram, somewhere between 50 to 100 sets of paired data points are sufficient to adequately explain the relationship between the variables. The scatter diagram can show a positive correlation, a negative correlation (as in fig. 7), or no correlation at all. Figure 7 indicates that the colder the temperature, the more problems occur with flight controls. This tool can only show a relationship; it does not show that one variable actually causes another and may be of limited value during detailed analysis.

### Force-Field Analysis

*Best Used.* Use force-field analysis to identify positive and negative forces on a problem or situation. This allows one to focus on reinforcing the positive forces and minimizing the negative forces.

*How Used.* Record force-field analysis on a T table with the problem written clearly across the top, positive forces written to the left side of the T and negative forces (forces with an unconstructive or harmful effect) on the right side. The commander and his team first brainstorm the positive forces, followed by the negative forces, and then prioritize the forces on each side. The commander is able to move resources and manpower to reinforce the highest priority positive forces of the problem and minimize or eliminate the highest priority negative forces.

### **Disbribution of Weight (Officers)**

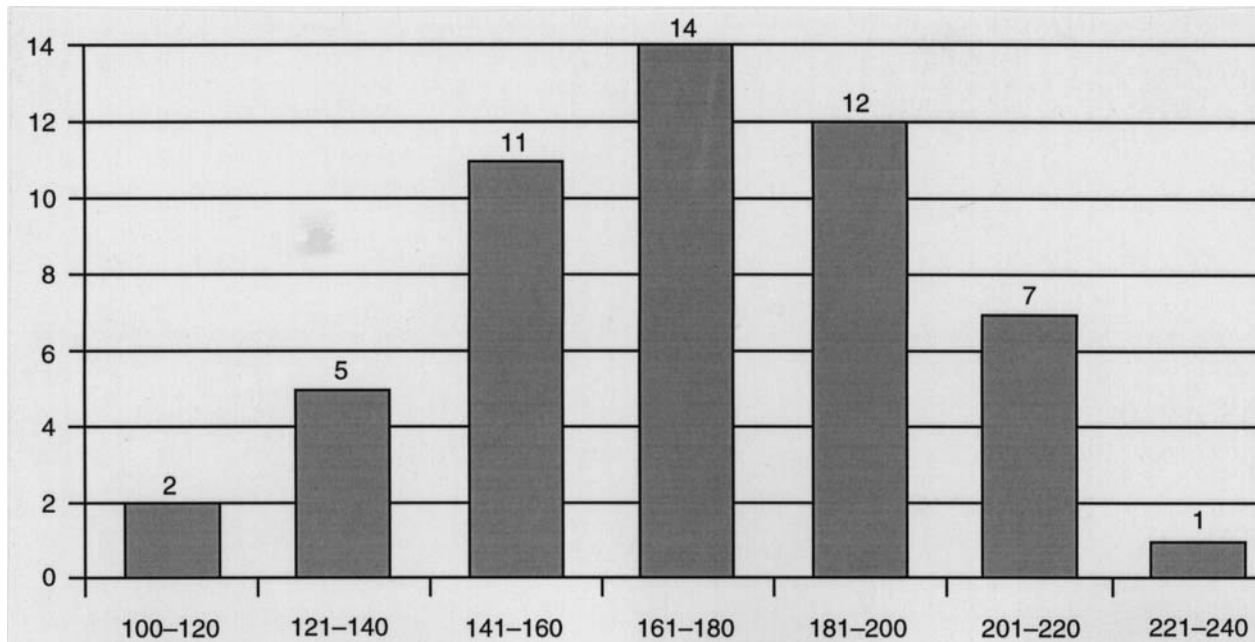


Figure 6. Example of a Histogram

### **Potential Relationship Between Temperature and Flight Control Problems**

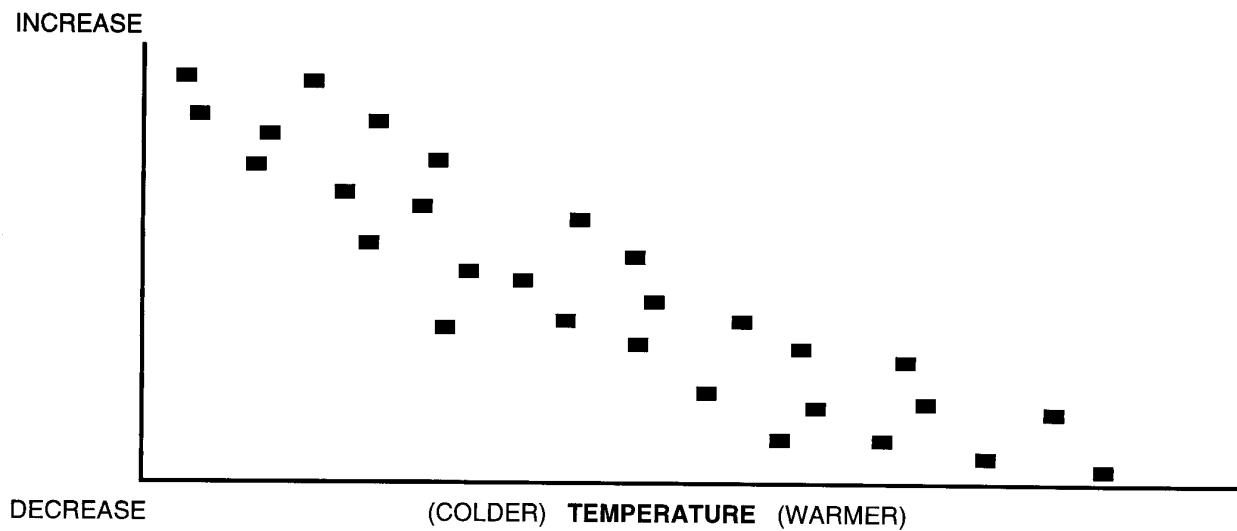


Figure 7. Example of a Scatter Diagram



## CHAPTER 7

# Commanders and the Information Age

*Don't leave home without your Comm [Communications] and Info [Information] Warrior by your side!*

—Lt Gen John L. Woodward Jr.  
Deputy Chief of Staff  
Communications and Information

### Your Unit's Communication and Information Needs

REF: AFI 33-111, *Telephone Systems Management*; AFI 33-129, *Transmission of Information via the Internet*; AFI 33-119, *Electronic Mail (E-mail) Management and Use*; AFI 37-131, *Air Force Freedom of Information Act Program*; AFI 37-132, *Air Force Privacy Act Program*

OPR: Commander, Communications Squadron/Contractor; and Unit Information Manager

OCR: Legal Office; Staff Judge Advocate; and Air Force Office of Special Investigations

Internet: <http://afpubs.hq.af.mil/>

The information revolution has dramatically affected the way the Air Force conducts day-to-day business as well as warfare. The amount of change we have seen over the past 20 years has been nothing short of revolutionary. This change is just the tip of the iceberg; we can expect to see four times as much change during the next 30 years. You can expect that the way you conduct business will be significantly different than in the past. The communications squadron (CS) or communications contractor will provide unit communication and information needs such as the following:

- Networking (E-mail services, application support, system administration, etc.)
- Telephones (secure and unsecure)
- Wireless communications

- Satellite communications
- Multimedia information (photo lab, graphics, video teleconferencing, etc.)
- Airfield system maintenance
- Giant voice (base public address system)
- Internet services
- Public address support
- Postal service (for overseas locations)
- Supporting communications architecture/engineering

It is critical that you establish a good working relationship with the CS commander or contractor. The CS will be your link to successfully navigating the technology maze and elevating your squadron to new heights in mission accomplishment, process efficiency, and security. A good working relationship and proper coordination will ensure that your unit has proper supportability, interoperability, and funding.

## **Procurement and Use of Wireless Communications**

You should be in constant contact with your chain of command, flight commanders, front office, and troops. Most commanders carry a land mobile radio (LMR), better known as a “brick” or a pager, and a cellular phone. In addition, you may need to utilize a satellite phone system. Flying-squadron commanders may need to utilize a UHF/VHF mobile radio in their squadron vehicle in order to maintain an up-to-date status of in-flight emergencies.

Your local CS will be indispensable in organizing your wireless communications needs. Communications will provide the infrastructure necessary to operate your equipment, but it is your responsibility to fund your wireless communications needs. The local CS must validate your purchases and leases before purchases or contract signing. In addition, CS will be able to provide the right technical solutions on the type of equipment required to operate with its infrastructure. You must be aware of major infrastructure changes and upgrades to ensure your unit is fiscally prepared for the required upgrades to associated communications equipment.

## **Fitting into the Global Information Grid**

Base computer systems are more than just networks; they are part of the Global Information Grid (GIG) and are used to deliver decision-making and war-fighting information to the right place and the right customer at the right time. The GIG is a single, integrated communication and information infrastructure that provides war fighters worldwide with seamless connectivity to support all operations. Every time you pick up your office phone or use a government computer, you are using the power of the GIG. It is the globally interconnected, end-to-end set of information capabilities, associated processes, and personnel used for collecting, processing, storing, disseminating, protecting, and managing information on demand to war fighters, policy makers, and support personnel. This infrastructure links the services from the national-level agencies offered outside the gate or off base, over the infrastructure inside the gate, through to the last 400 feet. CS services provide the links inside the gate

(such as fiber backbone) as well as the last 400 feet, including desktop systems, the network, and phone wiring within your building.

### **Certificates Necessary for Operation**

All new systems/applications installed at your base will need both local accreditation and a certificate. This eliminates the drive-by installations, which have caused a wide range of interoperability issues. We know that inadequate application testing by the procuring organization can result in a loss of capability for our own war fighters and affect our information assurance. Such applications can potentially bring down whole portions of the GIG, a situation that would affect many war-fighting customers. In addition, past applications were fielded without consideration for network-security policy. All too often, we've only found such a problem after fielding. To prevent these problems, we need to be sure that new applications receive a certificate to operate. This process allows us to analyze risks and deal with them before implementation on the GIG.

### **Air Force Way**

In the past, you have struggled with acquiring new computers for your squadron. You have run into mounds of paperwork and bureaucracy, only to find yourself waiting for a long time to receive what you ordered. Ordering and receiving computers for your squadron does not have to be painful! You can now utilize automated information-technology procurement via Air Force Way (AFWAY). The system incorporates financial accountability and competitive sourcing for contracting while allowing the Air Force the ability to control product offerings. AFWAY changes the way we do business. Its automated coordination and approval process eliminates manpower-intensive activities, releasing users from tedious paperwork and allowing them to focus more on their core competencies. Using AFWAY to buy your information-technology needs in bulk results in remarkable savings, fewer transactions, and significantly reduced procurement time. A Web-based system, AFWAY provides easy accessibility, and its software and architectures provide a secure environment. AFWAY's standardization reduces training requirements for members who use it.

### **Commander Responsibilities for Computer/Telephone Misuse**

You are responsible for ensuring that personnel use government communications equipment only for official or authorized purposes. You must appoint a primary and an alternate telephone control officer (TCO) for the unit (see AFI 33-111). TCOs will be responsible for authorizing and controlling long distance telephone toll calls. In addition, TCOs act as the focal point for reviewing all communications requirements before submitting requests to CS. TCOs will be invaluable to you in analyzing phone billings and determining the potential for telephone abuse.

According to AFI 33-129, computer abuse can include, but is not limited to, the following:

- Any use of government-provided computer hardware or software for other than official and authorized government business
- Use of the computer system for personal or commercial financial gain, including, but not limited to, chain letters, commercial solicitation, and sales of personal property
- Use of the computer system for storing, processing, displaying, sending, or otherwise transmitting offensive or obscene language or materials (Offensive material includes, but is not limited to, “hate literature,” such as racist literature, materials, or symbols [for example, swastikas, neo-Nazi materials, and so forth], and sexually harassing materials, obscene material includes, but is not limited to, pornography and other sexually explicit materials.)
- Storing or processing classified information on any system not approved for classified processing
- Storing or processing copyrighted material (including cartoons) unless approval is obtained from appropriate authority
- Participating in “chat lines” or open-forum discussion unless for official purposes and after approval through the appropriate public affairs channels
- Using another person’s account or identity without appropriate authorization or permission
- Viewing, changing, damaging, deleting, or blocking access to another user’s files or communications without appropriate authorization or permission
- Attempting to circumvent or defeat security or auditing systems without prior authorization or permission (such as for legitimate system testing or security research)
- Obtaining, installing, copying, storing, or using software in violation of the appropriate vendor’s license agreement
- Permitting any unauthorized individual access to a government-owned or government-operated system
- Modifying or altering the network operating system or system configuration without first obtaining permission from the administrator of that system

If you suspect any type of telephone or computer abuse within your unit, contact your base legal office. Do not expect the network control center to conduct an “undercover” investigation for you. People who work as administrators for Air Force networks are neither investigators nor law-enforcement personnel. The system administrators’ responsibility stops at administering the network; their job is to ensure the overall integrity of Air Force networks. The legal office will advise you on what actions you may take to determine if abuse has actually occurred.

If an individual is “caught in the act” of making unauthorized use of government communications equipment, you have the authority to arrange for the network control center to lock the individual out of his or her account. You must coordinate as soon as possible with your legal office in order to receive authorization to search the individual’s computer.

Personnel must fully understand what the proper usage of their government communications equipment is. You must ensure all users are educated and trained on the appropriate use of E-mail. According to AFI 33-119, unit training programs must include the following:

- Security
- Information security

- Operational security
- System security
- Personnel security
- Professional courtesies
- Awareness of information-protection security
- Local operating procedures
- User responsibilities
- Records management requirements
- Unauthorized use
- Systems operations and capabilities
- Privacy Act information
- Public release of information and Freedom of Information Act

## **Command and Control (C<sup>2</sup>) Systems**

Command and control (C<sup>2</sup>) systems function at component or force level and provide the air component commander (ACC) the capability to direct and supervise activities of assigned or attached forces. C<sup>2</sup> systems allow for the centralized functions of planning, directing promotions, and controlling deployed air resources while monitoring actions of both friendly and enemy forces.

The global command and control system (GCCS) provides the joint war fighter with an integrated, near-real-time, true picture of the battle space and the ability to order, respond, and coordinate horizontally and vertically to fulfill mission requirements in that battle space. It supports planning, deployment, and utilization of US fighting forces and provides them information and direction to complete their missions. GCCS provides a common operational thread extending from the cockpit to the combatant commander and supports strategic, theater, operational, and tactical requirements. GCCS automates the tasks of deliberate and crisis-action planning, force execution, unit readiness, and status reporting.

The theater battle management core system (TBMCS) is the follow-on system to the contingency theater automated planning system (CTAPS). The operational mission of the TBMCS program is to develop, integrate, field, and maintain an evolving sequence of increasing capabilities for computer-supported management of theater airborne assets in peacetime, exercise, and wartime environments at the force and unit levels. In this context, “force level” refers to the headquarters elements of a USAF operating command, numbered air force, unified command, subunified command, joint task force (JTF), or combined (multinational) command, whereas “unit level” refers to the wings and squadrons, which take direction from the force-level organization. TBMCS provides a wide range of support to organizations, personnel, procedures, and equipment collectively known as the theater air control system (TACS). At the force level, TBMCS supports the air operations center (AOC), allowing decision makers the ability to plan and execute theater-level air campaigns in support of joint/combined operations. At the unit level, TBMCS supports the wing operations center (WOC), the maintenance operations center (MOC), the squadron operations center (SOC), and the air support operations center (ASOC). At this level, TBMCS translates force-level plans into action.



The global combat support system (GCSS) was developed in response to one of the four operational concepts articulated in *Joint Vision 2020: Focused Logistics*. Focused logistics is the fusion of information, logistics, and transportation technologies to enable forces of the future to be more mobile and versatile in any location at any time. The GCSS concept provides the joint war fighter with a single, end-to-end capability to manage and monitor units, personnel, and equipment from mobilization through deployment, employment, sustainment, redeployment, and demobilization. As an end state, GCSS will be a secure network environment that allows DOD users access to shared data and applications, regardless of location—supported by a robust network/informationcentric infrastructure.

Although the primary objective for the GCSS concept is to provide a fused and integrated combat-support picture of the battle space as a whole to the war fighter the GCSS (combatant commander/JTF) objective is focused on supporting commanders at the combatant commander and JTF levels. The intent is to supply commanders with read-only access to authoritative, comprehensive CS information from various CS databases and accurately portray CS status. The mission of GCSS (combatant commander/JTF) is to provide end-to-end information interoperability across both CS and C<sup>2</sup> functions in support of combatant commander, JTF, and CS requirements. The GCSS concept and GCSS (combatant commander/JTF) bridge the gap between C<sup>2</sup> and CS logistics, allowing successful execution of missions.

GCSS (combatant commander/JTF) will complement the GCCS by being fielded as a mission application under the C<sup>2</sup>. Together, GCCS and GCSS will present a total battle-space picture to JTF and combatant commander incorporating both C<sup>2</sup> and CS information. GCSS (combatant commander/JTF) will constantly evolve to fulfill requirements set forth by JTF and combatant commander.

With the advent of the twenty-first century, war fighters must have readily available tools that enable them to deploy, employ, and sustain forces for any assigned mission. In support of this requirement, each combat-support functional area—supply, transportation, finance, medical, personnel, acquisition, and others—must have access to authoritative data and must be able to transform that data into relevant information for war fighters.

## **Information Assurance**

You must understand your roles relating to information assurance. This is pointed out in following extract:

The goal of information assurance is to assure the availability, integrity, and confidentiality of information and information-dependent systems. This includes providing for restoration of information systems by incorporating protection, detection, and reaction capabilities. Information assurance is applied to all military activities at all levels of command. The information assurance process is applied through technology-based activities. The certification process involves security administrators and many others to survey the hardware and software to assure the integrity of the system. The report is compiled and submitted to the designated approving authority (DAA) as certified to operate in a particular security mode. The DAA provides the formal declaration that systems are accredited for operation in a particular security mode. It is important to understand that any changes to the system will require that the process be reaccomplished. This does not mean from the beginning; just recertify the area(s) that were affected by the change.

Information assurance includes the protection of information systems against unauthorized access or information corruption. It encompasses computer security, communications security, and those measures necessary to detect, document, and counter such threats. One such measure would be a firewall. This network component supports information assurance by

securing internal systems from external systems. It is also equally important to notify the proper authorities in the event of system penetration. The user and CSSO are not trained in the art of hostile and criminal threat assessment. The AFOSI office has specialized training in hostile and criminal threat assessment, technical surveillance countermeasures, and information on the exploitation of information systems.<sup>1</sup>

The fact that networks are considered weapons systems makes information assurance a hot topic on many wing commanders' agendas. Information assurance is not simply the concern of communications warriors. As commander, you have the responsibility to

- designate a unit COMPUSEC manager and administrator for the program.
- ensure that the network control center is the single delivery point for your base traffic.
- ensure 100 percent security-awareness training for all personnel.
- ensure that functional systems are certified and accredited before operational use, and
- ensure that the unit functional-system administrators implement AFCERT advisory and compliance messages.

### **Spectrum-Management Support**

As options for using wireless communications grow, spectrum management is becoming increasingly important to our Air Force. Remember, we do not own frequencies which are a national asset of the host nation, regardless of the location. Proper spectrum management is key to interference-free communications. Your installation's spectrum manager is the focal point for all radio-frequency issues whether you are in garrison, on deployment, or on exercise. Since permissions to use frequencies typically take several months to coordinate, early planning is essential. As part of your planning, do not commit funds before proper frequency-spectrum coordination is completed.

### **Publications/Forms Management**

In the past, your local CS was the point of contact to order copies of publications and forms needed to accomplish your mission. Today, most of these publications and forms are located on the World Wide Web. CS can still assist in ordering forms (such as unique labels and tags) that cannot be downloaded electronically.

### **3AXXX Personnel as Work-Group Managers**

Information managers (IM) are very valuable resources to our squadrons. The evolution of the world, the Air Force, and technology has been dramatic over the past few years, and the traditional role of IMs has evolved dramatically as well. Five years ago, an IM's primary job was to prepare, transmit, safeguard, and store letters, messages, publications, performance reports, and decorations. Today, software tools have moved many of these tasks to user keyboards. As this work has shifted, a reengineering of the IM career field has taken place including work-group management—that is, managing office information technology and the information itself from generation, to processing, to storing to transmitting. At the same time, IMs play important roles in training and assisting users in the proper use of networks (rules, guidelines, and security requirements). IMs receive extensive training in information technology, network-environment fundamentals (network-operations security

and protocols), records management, and end-user operating systems and applications. This training is in addition to the more traditional roles of mail handling, publishing, and office administration. By utilizing IMs as work-group managers, you improve information assurance and operational availability of information and increase efficiency/effectiveness in the use of your information resources. IMs will help you use information management as a force multiplier, facilitating decision making and increasing your squadron's productivity. The effective use of IM personnel not only benefits the mission and your unit, but also provides IMs hands-on practical experience and increases their promotion opportunity.

The role IMs play has significantly evolved over the past decade. It is to your squadron's advantage that you understand and support their new roles. This is vital for in-garrison daily activities as well as for deployed missions. If you utilize the current training IMs receive, you improve and streamline your information-processing environment and make technology work for you. By doing so, you will effectively enhance your mission accomplishment and at the same time establish a challenging and rewarding developmental environment for IM professionals. In the end, you will maximize their valuable talents to better manage three of your most important resources: people, information, and time.

## **Records Management**

Commanders have the legal responsibility to ensure that the records-management program is properly administered. You will have overall responsibility for all records your squadron creates, regardless of physical characteristics, including identification of appropriate disposition authorities for records maintained. What exactly are records? They can take many forms. The age-old variant is the paper record—a letter, a memorandum, or any other type of written document. It is important for you to recognize that information stored on a computer is a record. The following quotation from *A Citizen's Guide on Using the Freedom of Information and the Privacy Act of 1974 to Request Government Records* helps to clarify this concept:

Any item containing information that is in the possession, custody, or control of an agency is usually considered to be an agency record under the Freedom of Information Act (FOIA). Personal notes of agency employees may not be agency records. A document that is not a "record" will not be available under the FOIA. The form in which a record is maintained by an agency does not affect its availability. A requestor may seek a printed or typed document, tape recording, map, photograph, computer printout, computer tape or disk, or a similar item. Of course, not all records that can be requested must be disclosed.<sup>2</sup>

Part of your responsibility will be to identify the records needed by each work center within your squadron. Your endorsement as commander will be necessary to ensure that the program remains viable.

## **Teamwork—Keeping Your Communications Squadron in the Loop**

The bottom line to your success as a commander is developing solid teamwork. The information age is here to stay. As you prepare for and go to war, information

flow will be critical. Keep your communication and information warriors right by your side.

#### **Notes**

1. Extracted from Advanced Communications and Information, Officer Training Student Handout, no. 99-302, Maxwell Air Force Base, Ala., Officer Training School, 1999.
2. Committee on Government Reform and Oversight, *A Citizen's Guide on Using the Freedom of Information Act and the Privacy Act of 1974 to Request Government Records*, 105th Cong., 1st sess., 1997, House Report 105-37.



## **Deployment and the Commander**

*America's airmen . . . smart, sharp, and tough. . . .  
We will fight and win wherever our nation needs us.*

—F. Whitten Peters  
Former Secretary of the Air Force

—Gen Michael E. Ryan  
Former USAF Chief of Staff

—*America's Air Force Vision 2020*

REF: AFI 10-217, *Resource Augmentation Duty (Ready) Program*; AFI 10-404, *Base Support Planning (BSP)*; AFI 36-22, *Military Training*; AFI 36-2247, *Planning, Conducting, Administering, and Evaluating Training*; AFI 36-2908, *Family Care Plans*; AFDD 1-3, *Air Force Leadership and Command* (forthcoming)

OPR: Commander; First Sergeant; and Unit Deployment Manager

OCR: Installation Mobility Officer; and Personnel Readiness Unit

Internet: <https://aefcenter.acc.af.mil>

Deployment commitments are a part of the Air Force. As a commander, you may be required to deploy or may have positions in your unit requiring the deployment of your personnel. This chapter familiarizes you with some of the general deployment requirements and provides a checklist and glossary of terms.

### *Commanders' responsibilities*

You are responsible for your squadron's mobility planning, training, and execution. This includes everything from assigning the proper grade and skill level to mobility positions, to publishing a minimum clothing list and inspecting mobility bags. Additionally, unit personnel are responsible for preparing all equipment, containers, and vehicles for deployment.

This chapter is divided into five main sections: (1) The Expeditionary Air and Space Force Concept, (2) Planning and Reporting, (3) Predeployment, (4) Deployment/Redeployment, and (5) Postdeployment. Each section provides a general overview of requirements for most deployments and requirements, which are generic in nature and do not relate to a specific mission, squadron, or command. You will need to review the specific requirements of the command to which you

are assigned for its deployment preparation. According to Lt Gen William Pagonis,

It is centralized planning that creates the screen through which ideas, good and bad, can be filtered. Equally important is decentralized execution. It has been said, and I firmly believe, that everybody is an expert within their [sic] own twenty-five square feet. In order to draw on that expertise, the organization has to download as much authority as possible. People need to be given a vision and a plan, trained, and then *turned loose*.<sup>1</sup>

## **The Expeditionary Air and Space Force Concept**

Shifting national security strategy from containment to global engagement led to the formation of the Expeditionary Air Force (EAF) concept. The intent of this new concept is to manage resources better, to be responsive to the MAJCOMs' airpower needs, and to take care of people. The EAF is our vision for how to organize, train, and equip to create a mind-set and cultural state that embraces the unique characteristics of air and space power. We achieve this by creating air and space expeditionary forces (AEF) within our Air Force. An AEF is an organization of air and space capabilities that provides tailored forces to meet theater needs. It provides total force packaging including combat air forces, humanitarian-relief capability, airlift, and combat support units. By the AEF's very nature, it is mobile—expeditionary from the “get go”!

AEFs provide capability, not specific airframes, to meet requirements. For example, rather than request two F-15 aircraft, MAJCOMs must request air superiority for a 12-hour window. AEFs will not necessarily reduce TDYs; they were not designed for that. They will, however, bring some measure of predictability and stability to our airmen.

The goal of the AEF concept is to meet a 15-month cycle, during which a unit or individual will be deployed for only 90 days. The rest of the 15-month cycle will be spent training and preparing for deployment, with a recovery period following the deployment. Ten AEFs fill the 15-month schedule, two of which are tasked for each three-month period (for example, AEFs one and two from 1 December to 1 March). In addition to the 10 main AEFs, each three-month period will have crisis-response units to provide increased capability and low-density/high-demand assets such as F-117s, B-2s, U-2s, airborne warning and control systems, and joint surveillance, target attack radar systems. AEFs cover known commitments, while on-call forces remain ready to support any pop-up crisis as well as support a surge in known operations. The bottom line for AEF organizations is knowing when commanders and units are vulnerable for deployment. During a unit's AEF window, there should be no “short notice” deployment taskings.

Under the AEF concept, many issues previously experienced during deployments have not changed. Deployments still use unit type codes

(UTC), which are preformed “packages” of people and/or equipment. Planners task UTCs (i.e., alphanumeric codes such as XFFK1) to support operations. As a commander, you might be involved in assisting functional area managers at headquarters with developing or modifying UTCs. More importantly, you need to ensure your people know which UTC they are tasked against and to which AEF they are assigned. Knowing the assigned AEF provides troops with a working timetable for required deployment training and scheduling of family commitments. It is your responsibility to ensure your personnel are ready for deployment as a squadron or as a UTC within an AEF. If you don’t have the right mix or number of people to support a UTC for which your unit is responsible, you should identify the shortfall as early as possible. Other units may be capable of supporting shortfall requirements, but they must have sufficient reaction time.

The following are useful rules for commanders:

- Know which AEF your people support. (Be sure they know as well!)
- Keep your UTCs manned, trained, and equipped.
- Identify shortfalls early and accurately.
- Lessons learned help everyone.
- Report readiness accurately.
- Keep the promise to our airmen (10 AEFs; 15 months; one 90-day period of eligibility for deployment).
- If all else fails, contact the AEF center.

Note: See the AEF center’s Web site for help with the EAF or AEF concept.

## **Planning and Reporting**

In addition to AEF commitments, your wing may be tasked to support specific operations plans (OPLAN), which are developed as part of the deliberate planning process and designate how the wing will deploy and fight in a hostile environment. OPLANs are not necessarily tied to AEFs. The installation’s deployment plan is the single-source document that highlights the wing’s deployment procedures and is unit specific. It follows guidance established in AFI 10-403. Logistics-plans personnel, under the direction of the installation deployment officer (IDO), are the planning and execution experts for wing deployment. The IDO is usually part of logistics support squadron (LGX), but during activation of the wing deployment center, the IDO is the wing commander’s personal representative for all deployment actions. Logistics planners, the wing’s focal point for deployment planning, develop guidance for the IDO and lead the wing’s working group, composed of representatives from transportation, logistics plans, and unit

deployment managers (UDM). LGX is responsible for training the squadron's unit-deployment managers.

You appoint UDMs, who are responsible for ensuring that the squadron meets its mobility/deployment taskings. This includes ensuring that unit personnel are current on training and certifications, immunizations, chemical-warfare training, cargo and/or pallet buildup, hazardous-cargo certification, and cargo couriers. It is critical that you understand your taskings and priorities for movement. You must know your UDMs and become familiar with OPLANs that task the command (because these plans are classified, you usually must visit LGX to review them).

In addition to UTC taskings, you will have personnel tasked under the READY program, governed by AFI 10-217, a key enabler of the wing-deployment process. The program provides trained personnel to augment deployment work centers and/or functions. READY program augmentees are the individuals responsible for packing up and moving the wing out when it deploys. When selecting members to fill these positions, be careful to ensure that they are not assigned to UTC primary or alternate positions. Continuity is important, so members filling these slots should have a year of retainability (two years preferred) so they can become trained and proficient in their jobs.

AFI 10-404, covers how bases operate in contingencies. Part one of this instruction outlines the capabilities of each base; part two, which is classified, outlines how a base in CONUS or a beddown location will operate in wartime. Part one covers every aspect of base operations and support. It is a standardized, 44-chapter document that includes airfield operations, support operations, medical care, limiting factors (LIMFAC), logistics, and other pertinent information. Part two identifies what is available for a unit's use at the deployed location.

Automated tools are also available to assist the wing. The beddown capabilities assessment tool (BCAT), for example, compares support requirements and support capabilities in order to identify shortfalls and LIMFAC. Additionally, you can use the new leave and earnings statement (LES) system of tracking deployment rates for your personnel.

As part of the planning process, every wing or squadron that is tasked under plans must report its readiness. The chairman of the Joint Chiefs of Staff (CJCS), all services, unified commands, and combat support agencies use this system to indicate readiness to meet OPLAN taskings. Under this system, all combat and support units sourced to war-planning documents such as an OPLAN must report. In some instances, your resources may be rolled up or reported by another unit. You must report your readiness in response to a designed operational capabilities (DOC) statement, which indicates the mission your unit must be able to perform and the resources it must have. Reports are transmitted monthly or within 24 hours of a change. Each report will contain an overall "C" level; measured-area C levels and a reason code indicating personnel, training, equipment supply, or equipment condition. The



following are DOC-level definitions as they apply to the unit in question:

C-1: Ready for full wartime mission(s) for which it is organized or designed

C-2: Ready for most of the wartime mission(s)

C-3: Ready for many, but not all, portions of the wartime mission(s)

C-4: Requires additional resources or training to undertake its wartime mission(s)

C-5: Undergoing a service-directed resource action (e.g., aircraft conversion)

If you must report readiness in your squadron, you will have numerous responsibilities under the status of resources and training system (SORTS). Although your wing-level SORTS manager will provide input, you must

- appoint unit SORTS monitors,
- review and sign the DOC statement ASAP after assuming command and annually thereafter,
- recommend DOC statement changes to the functional area manager (FAM),
- review reports for accuracy before and after input,
- ensure two or more units don't report the same resources,
- assign overall C level, and
- ensure that reports are submitted within 24 hours of a reason code or measured-area change.

Commanders at every level are notified daily of C-level changes. Monthly briefings on all operational units are transmitted up the chain (to the MAJCOMs, CSAF, and even Congress), so changes or problems in readiness are of high importance. The design of the system not only shows readiness but also solves problems. For example, if you cannot meet a requirement, you will report a shortfall or LIMFAC. The report will allow personnel and commanders up the chain to prioritize and fill your shortfall or get resources from another source. Shortfalls and LIMFACs will bring both instant attention and instant help to fix the need!

## **Predeployment**

### *Planning ahead*

As Gen H. Norman Schwarzkopf stated, "It doesn't take a hero to order men into battle. It takes a hero to be one of those men who goes into battle."<sup>2</sup> It also takes a conscientious commander to prepare his or her troops for battle. One of the most important aspects of deployment is preparation. Indeed, a successful deployment often depends upon predeployment planning. The preparations made by

*Recommendations  
for establishing a  
mobility section*

you and your squadron can alleviate many frustrations and problems when the actual deployment occurs.

When you assumed command, you inherited either a strong, established mobility section or a weak, unestablished one. If the latter, you first need to identify the right people for the right jobs. Mobility is an additional duty for an individual who is motivated and has the initiative to do what is necessary. You should assign these duties to both a primary and an alternate. Additionally, you need to send the names of your points of contact (POC) to the appropriate base agencies. Ensure that personnel who are assigned to positions requiring special training receive it. Establishing a mobility section requires the following actions:

- Appoint a unit-deployment manager; contingency operation/mobility planning and execution system (COMPES) monitor; and couriers for classified documents, weapons, and munitions. If you do not have the last three items, tailor this list for your unit.
- Delegate authority to certify DD Form 1387-2, Hazardous Cargo.
- Designate personnel and cargo assembly areas within your squadron.
- Create a small-arms owner/user authorization list.
- Assign cargo increment managers.
- Develop a small-arms receipt-authorization list.

*Prepare personnel  
and equipment to  
deploy*

The mobility section is the hub of your mobility wheel. It is responsible for the overall preparation of your personnel and equipment for deployment. Tailor the program to meet the needs and requirements of your squadron.

- Develop personnel-readiness folders for all UTC-tasked personnel. Include a personnel-readiness-inspection checklist in each folder.
- Ensure that telephone alert/recall checklists are on hand and current (recall listings should include maps to individuals' quarters in case of power/phone outages).
- Assign squadron personnel to required UTC position numbers (if possible, recommend a primary and an alternate) in accordance with UTCs.
- Ensure that personnel assigned to mobility comply with AFI 36-2908.
- Develop and ensure continuous mobility training, train new personnel, and keep all personnel current with new procedures.
- Conduct an initial briefing for new personnel and then brief annually thereafter.
- Familiarize yourself with the base mobility plan and all operational plans that directly or indirectly affect the squadron.
- Perform periodic inspections of mobility bags and equipment to ensure readiness.
- Ensure that personnel are issued chemical-warfare equipment and receive training in its use.

Ensure that your mobility section keeps you informed of any LIMFAC affecting your squadron. You must keep abreast of your squadron's capabilities and problems. The decision to deploy with a shortfall may rest on your shoulders, so have an alternate plan of action.

Choosing the right mix of personnel is another challenge. Mission requirements dictate the kind of people you need both at the deployed location and back home. Other possible factors are experience or pending PCS restrictions, as well as personal requests or issues.

Another key area of concern in the predeployment phase is training—both enlisted skill-level training and ancillary training. Your unit enlisted training manager (UETM) is the key to keeping you advised on how work centers are preparing personnel for their primary duties and helping the UDM keep people properly trained in such areas as self-aid/buddy care, pallet buildup training, chemical warfare, and defense training. AFI 36-22 and AFI 36-2247 list commanders' responsibilities; you should pay particular attention to the monthly update by the UETM on upgrade training progress and OJT programs. UDMs should communicate directly with UETMs on specific training requirements and should notify you if training requirements are not met, indicating the required corrective actions.

## **Deployment/Redeployment**

More often than not, your people will deploy without you unless the entire squadron deploys. Normally only some of your personnel will deploy in support of a certain contingency. In such situations, your mobility preplanning will pay off. If your mobility section has done its job, your personnel will be prepared to deploy. Deploying personnel will have ensured their families' care by completing in advance such documents as dependent care, wills, powers of attorney, and so forth. Nondeploying and deploying commanders can help their personnel "out of the chocks" by heeding the following advice.

### **Nondeploying Commanders**

*Advice for  
nondeploying  
commanders*

Personnel need to see you just before they leave. This assures them that they and their families will have your support during the deployment. Make yourself visible and available during the mobility process; lend support to deploying personnel and their families. Speak to the group as a whole and to as many individuals as possible. It is imperative that families have a military member as a single point of contact (nondeploying commander and/or nondeploying first sergeant) to help resolve concerns ranging from information on the deployment to problems at home or on base. Ensure that they have key phone numbers and understand your sincerity in being available to them.

If the deployment is expected to be over 30 days, all deploying personnel (single or married [spouses invited]) are required to attend a readiness briefing given by the FSC, readiness NCO. The briefing

covers the Hearts Apart program (spouse support group), free child care, free car care, free telephone cards provided by the Air Force Aid Society, morale calls, video teleconferencing, and computers for E-mail use, along with a wealth of additional information related to families. Ensure that deploying members take advantage of these programs and services for their families. Your first sergeant may fill a UTC under current AEF programming guidelines. If this happens, you will need to appoint an acting first sergeant to assist not only with normal first-sergeant duties, but also with those duties that arise because of the deployment. Ensure that your first sergeant has a continuity book for daily activities and that the deploying first sergeant has one.

You should avoid deploying your first sergeant unless the entire squadron (or a significant portion thereof) is deploying. Since most of your troops will remain at home, the focus should be on ensuring that the needs of deployed members' families are met. You should appoint a SNCO as acting first sergeant at the deployed location.

Stay in constant contact with your deployed representative. Make sure you set up communications immediately, if possible, and assist in any way necessary. Provide advice and answer questions, but remember that you have assigned a deployed commander to be in charge in your place; allow your representative to do his or her job.

### **Deploying Commanders**

*Advice for  
deploying  
commanders*

If you deploy, it is most likely that your entire squadron will deploy with you. In that case, you will have a different set of challenges. Some of the problems may be the same, but your ability to handle them due to your deployed location will be a challenge. Before beginning any deployment, the squadron needs to understand the purpose of the deployment. You should share your vision of the purpose, clearly state the mission, and establish how the squadron will accomplish it. This begins the team-building process.

You first need to ensure that your people have adequate housing, messing, and sanitary facilities. The deployed first sergeant and the logistics technician are the focal points for beddown, housing, and messing. If a site survey of the area was performed during predeployment planning, they should already know whether facilities are available and adequate. After ensuring that living conditions are the best they can be, concentrate on the work environment. If not, swing into action to get the necessary support the troops require. Establish contact with home, and set up a routine connection to get any information about problems with families left behind. Not only should you get the bad news, but also the good news. It will mean a great deal to a squadron member if you know and acknowledge the birth of a child or some other personal event.

Verify all information provided by the American Red Cross. Even though ARC personnel do a good job, mistakes happen. Before you upset a unit member, make sure that the facts are accurate and that

*Be vigilant!*

you have all the necessary information—names, dates, places, and circumstances. Deployed troops have enough on their minds without having to deal with false information.

Set up some sort of recreational activity for the squadron during nonduty hours, it is important for members to be relieved from the stress of being away from home. If possible, establish morale calls to allow troops to communicate with loved ones and relatives. These calls are legal and encouraged when the appropriate time constraints are enforced.

Maintain a semblance of normalcy. Make sure you conduct promotions with the pomp and circumstance of home. Visit your troops in their work areas and quarters; don't forget the shift workers or those assigned to other squadrons or work centers. Keep your folks informed by holding commander's calls. Celebrate holidays and decorate, if possible.

Leave part of your administration folks at home to ensure that OPRs/EPRs, assignments, awards, and other personnel actions do not stop during deployment or even redeployment; it is critical to be diligent and persistent with these matters. If it is not possible to leave anyone behind, arrange for a loan of personnel from a non-deploying squadron.

Keeping the home front informed helps in two ways. Obviously, maintaining contact with the nondeploying commander keeps you up-to-date. However, you need to keep the families informed too. One creative method is to send weekly newsletters with digital photos that have basic (nonclassified) squadron activities, funny anecdotes, squadron successes, mission importance, and top performers. If you keep families informed and things are well at home, the deployment will be more successful in the end. Finally, do not fail to properly recognize the efforts of those under your command. From Air Force awards to simple "attaboys," rewards are time-tested, effective motivators.

You must be active in planning for the redeployment of your personnel, regardless of whether you deployed or stayed at home.

*Advice for  
nondeploying  
commanders when  
troops return*

When troops return home, you and the first sergeant should be there to meet them, regardless of the hour or the day. It is important for your personnel to know that you think their job was important and that you are happy to have them home. Ensure that you notify family members of arrival times or changes to the times. If members will be returning via an on-base aerial port, check with air-terminal operations to find out if it is possible to have family members on the flight line or at base operations or transient alert to meet their spouses as they deplane.

Terminal personnel will have a luggage area set aside, allowing returning personnel to spend time with their families and then just pick up their bags and head home. If your people are returning from an overseas area and did not go through a customs inspection elsewhere, plan with terminal personnel and customs officials to make the process as painless and quick as possible.

It would also be good to have refreshments available. In some cases, local restaurants will donate food and drinks if a large deployment is returning. Be sure that you check with the legal office about donations of this type. Neither you nor a member of your squadron can solicit donations.

If possible, have some of your command staff available to approve and accept leave orders. If you have more than 30 personnel returning, it is better to have them complete their travel vouchers in advance. Since personnel are all traveling together, the information will generally be the same. One individual—the deployment commander or representative—can collect all signed vouchers and turn them in.

If unit tempo and operations permit, try to arrange a light workload (flying, maintenance, etc.) following a large deployment. IAW current directives, grant time off for personnel who have earned it. Personnel who wish to take extended leave should have made requests and received approval early. Plan for time off and leave for returning personnel, but don't forget about those left at home. They too deserve time off and leave. Have your assigned deployment commander provide an after-action report on any shortfalls and recommendations that will help you plan for future deployments (lessons learned).

*Deploying  
commanders*

Give the nondeploying commander your direction in accomplishing all of the tasks discussed above.

## **Postdeployment**

*Recommendations  
for commanders in  
the postdeployment  
period*

Make sure your mobility section annotated and corrected problems that occurred during all phases of the deployment. All actions should be completed within 30 days following a major deployment. If you wait much longer, other priorities arise, and people have a tendency to forget what went wrong.

Keep after-action reports as a tool to review for the next deployment. They will jog your memory and may prevent history from repeating itself. Survey your personnel who deployed and find out what could have made the deployment run smoother, what they needed and did not have, and what their recommendations are for future deployments.

## **Summary**

This chapter touched on a few of the areas needed to ensure that squadron deployments go smoothly. Whether deploying only a few individuals or the entire squadron, commanders must ensure that their members are provided for. Don't expect your people to take care of the mission when you haven't taken care of them. The following definitions of commonly used mobility terms and checklist are not all-inclusive and, as such, require tailoring for your squadron.

## Definition of Terms

*Advanced echelon (ADVON).* An initial deployment element of personnel and equipment within a specific UTC. The ADVON portion of a UTC normally consists of the equipment and personnel required to establish an austere operational capability for a period of up to seven days.

*Airlift control element (ALCE).* A functional airlift organization (provisional) established to provide support to air elements at an air facility. Normally, ALCE includes an operations function such as movement control and communications, a support function that relates to the air facility itself, and a liaison with appropriate airborne or other air units. Use "A" as the first position of the deployment echelon code in COMPES.

*C day.* The unnamed day on which a deployment operation commences or is due to commence. The deployment may be movement of troops, cargo, weapon systems, or a combination of these elements using any or all types of transport.

*Crisis action team (CAT).* Command and staff personnel assembled to respond to war and certain contingency or emergency situations that require continuous action. Its purpose is to provide continuous response during periods of increased readiness and expanded operations.

*D day.* The unnamed day on which a particular operation commences or is due to commence. An operation may be the commencement of hostilities. D day is considered a specific date and ends at 2400Z.

*Deployment.* In the strategic sense, the relocation of forces to desired areas of operation.

*Deployment manning document (DMD).* A document listing the names of the personnel filling the requirements identified in the deployment requirements document.

*Employment.* The tactical use of aircraft in a desired area of operations. In airlift operations, the term refers to a movement of forces into or within a combat zone or objective area, usually during the assault phase.

*Frustrated cargo.* Any shipment of supplies and/or equipment, which, while en route to a destination, is stopped before receipt and for which further disposition instructions must be obtained.

*H hour.* The specific hour on D day at which a particular operation commences.

*Installation mobility officer (IMO).* An individual who is the senior or host-unit mobility officer. He or she acts for the commander in the overall direction, control, and coordination of deployments from the base and maintains base-mobility guidance.

*L hour.* The specific hour on C day, expressed in Greenwich Mean Time, that serves as a common reference time from which the movement of weapons systems, equipment, supplies, personnel, and transportation is measured during deployment operations. Preplanned deployment activities can be scheduled before or after L hour.

*Limiting factor (LIMFAC).* A shortfall that has a significant impact on the capability to perform the wartime mission.

*Mobility.* A quality or capability of military forces that permits them to move from place to place while retaining the ability to fulfill their primary mission.

*Mobility bags.* Bags (designated A, B, and C) authorized for individuals and containing items of organizational clothing and equipment.

*Operation plan (OPLAN).* A plan for a single or a series of connected operations to be carried out (executed simultaneously or in succession). The OPLAN is usually based on stated assumptions and is in the form of a directive by higher authority to permit subordinate commanders to prepare supporting plans and orders.

*Personnel readiness folder (PRF).* A folder maintained for each individual filling a mobility position. It contains materials (e.g., dog tags, shot records, etc.) that enable a person to deploy rapidly and it also serves as a documentation source for individual required readiness briefings.

*Personnel readiness unit (PRU).* The consolidated base personnel office work center that serves as the focal point to develop and monitor in-processing or out-processing actions for deployments, exercises, or rotational temporary-duty requirements.

*Q hour.* The hour mobility operations start in preparation for deployment and the notification reference point to begin all mobility actions.

*Redeployment.* The transfer of a unit, an individual, or supplies deployed in one area to another area, or to another location within the area, or to the zone of interior for the purpose of further employment.

*Shortfall.* The lack of forces, equipment, personnel, materiel, or capability apportioned to and identified as a plan requirement that would adversely affect the command's ability to accomplish its mission.

*Unit type code (UTC).* A five-character, alphanumeric designator that identifies a specific capability. The third volume of the *USAF War and Mobilization Plan WMP-3*, lists the UTCs for all Air Force capabilities. UTCs are used by unified and specified commands, Headquarters USAF, and the CJCS to identify forces required to support contingency plans.

*War reserve materiel (WRM).* Materiel required, in addition to peacetime assets, to support the planned wartime activities reflected in the USAF WMP. WRM includes station pylons; spares and repair parts; air-transportable housekeeping equipment and supplies; base-augmentation and maintenance and operations support sets; vehicle reserve sets; chemical equipment and supplies; biological defense equipment and supplies; aviation and ground petroleum, oil, and lubricants; rations and other war consumables; equipment; and supplies designated or authorized as WRM according to established policies.

## **Commander's Checklist**

### **Predeployment**

- Assign mobility duties; send letters to agencies.
- Develop readiness folders for UTC-tasked personnel.
- Ensure that personnel assigned to mobility positions comply with AFI 36-2908 and have their personal business taken care of before deployment (e.g., wills, powers of attorney, etc.).
- Be familiar with the base mobility plan and all operational plans that affect the squadron.
- Perform periodic inspections of assigned mobility bags and equipment.



- Ensure that mobility personnel are issued chemical-warfare equipment and receive appropriate training.

## **Deployment**

### **Nondeploying Commanders:**

- Stay visible to lend support to deploying personnel and their families.
- Develop a spouse-support group if the deployment is for a long period of time, and work with the FSC.
- Do not deploy your first sergeant unless the squadron goes as a group. Do assign SNCO as the deployed first sergeant.
- Assign one individual as your deployed representative, and stay in contact with that individual.

### **Deploying Commanders:**

- Make sure troops have adequate housing, messing, and sanitary facilities.
- If a site survey was not accomplished during the predeployment phase, you need to find out exactly what your people need in order to do their jobs.
- Establish communication lines with home so personnel can get family information, both good and bad.
- Make sure you get accurate information from ARC if an emergency arises.
- Set up recreational activities at the deployed location so personnel can relieve stress.
- Strive to keep things at a normal pace (e.g., commander's calls, promotions, etc.); celebrate holidays and try to decorate for the occasion.
- Leave some members at home to handle paperwork.

## **Redeployment**

### **Nondeploying Commanders:**

- You and your first sergeant need to greet your troops upon their arrival home.
- Notify families of the arrival time and place so they can meet their spouses.
- Set up an area in a hangar for luggage to be off-loaded.
- If it is a large group, arrange for finance and unit administrative personnel to help with leave slips and travel vouchers.
- Try to arrange the workload so it will be light after a large deployment.

### **Deploying Commanders:**

- Make sure that the instructions in this chapter's section on the nondeploying commander section of this chapter are accomplished before you return.

## **Postdeployment**

- Make sure the mobility section annotated and corrected problems that occurred during all phases of the deployment.
- Keep the after-action report as a review tool for the next deployment.

- Survey deployed personnel and ask what could have been done to make the deployment run smoother (lessons learned).

#### **Notes**

1. Gen William Pagonis and Jeffrey L. Cruikshank, *Moving Mountains: Lessons in Leadership and Logistics from the Gulf War* (Boston, Mass.: Harvard Business School Press, 1992).
2. Gen H. Norman Schwarzkopf, commander of allied forces in the Gulf War, interviewed by Barbara Walters, 15 March 1991.



# Sensitive Issues

*Excellent leaders stand for absolute integrity, absolute honesty. They preach the concept of honesty in the organization. Excellent leaders practice integrity in thought, word, and deed. And they insist upon the integrity and honesty on the part of their subordinates. They also see themselves as responsible for the unit's discipline. A military organization absolutely depends on discipline.*

—Gen W. L. Creech  
Former Commander, ACC

In today's high-demand environment of "political correctness" and legal pitfalls, you must travel through a virtual minefield of sensitive issues. From coping with policies dealing with issues such as homosexuality and acquired immunodeficiency syndrome (AIDS), to surviving multiple environmental laws and Department of Defense Directive (DODD) 5500.7-R, *Joint Ethics Regulation*, you must be able to recognize a sensitive issue and respond appropriately.

The issues addressed in this chapter are not all encompassing but are included to stimulate thought and awareness. The chapter then directs you to the pertinent sources of information or assistance.

## Air Force Relations with Congress

REF: DODD 5400.4, *Provision of Information to Congress*; AFI 90-401, *Air Force Relations with Congress*; AFI 31-401, *Information Security Program Management*

OPR: Wing or Installation Commander; Secretary of the Air Force/Legislative Liaison; and Commander

OCR: MAJCOM, Installation Public Affairs, Staff Judge Advocate, and Inspector General

### *Congressional inquiries*

You must respond promptly and factually to direct requests for information from members of Congress and their staffs. The Secretary of the Air Force (SAF) has given the Office of Legislative Liaison (SAF/LL) the authority and responsibility for relations with Congress, the Executive Office of the President, the vice president, the Office of the Secretary of Defense (OSD), and other governmental agencies.

When in receipt of or responding to requests for information, you must keep the installation IG and SAF/LL involved by faxing these offices a copy of the inquiry within 24 hours of receipt and a copy of the proposed response for review (normally the requests will come to you through one of the aforementioned sources). The installation IG and SAF/LL will want to work more closely with overseas commanders since issues pertaining to them may be more sensitive or controversial in nature. Refer to paragraph 4.4 of AFI 90-401 for guidance on inquiries to overseas commanders. Regardless of your location, be sure to properly safeguard classified information in the interest of national defense IAW AFI 31-401. Although all senators and representatives hold Top Secret clearances, SAF/LL determines what information is pertinent within their jurisdiction.

*Congressional visits*

Members of Congress and their staffs may need to visit your unit or activity. The Air Force fully supports these visits and, with SAF approval, may assist by providing transportation. There are restrictions on visits during election years and to partisan political activities. Contact SAF/LL or Public Affairs in the Office of the Secretary of the Air Force (SAF/PA) if you have questions regarding these restrictions. If the visit is in support of congressional field hearings and/or investigations, SAF/LL will be the commander's liaison with the SAF for all reports requiring SAF attention. Members of Congress and their personal committee staff are entitled to courtesy, access to your base, and use of facilities to conduct their work. You must ensure that everyone fully cooperates with committees during hearings and investigations. If SAF/LL personnel do not escort congressional members and their staffs, you should inform SAF/LL about the outcome of the visit, including the site(s) and length of the visit; names of visiting members; any deficiencies they disclosed; their requests for information; and corrective actions taken (if applicable).

*Community activities*

Notify SAF/LL when local plans may generate significant community interest and, in turn, may interest members of Congress. You will need to check with your wing or base when you plan to invite congressional members. Your PA office will send SAF/LL the signed invitation 60 days in advance, explaining the details of the event. Make no public announcement until SAF/LL confirms that the guests will attend. Coordinate with SAF/LL when members of Congress or their staff members plan to visit your activity and the visit has not been previously coordinated.

**Commander's Checklist**

- Respond quickly and completely to congressional inquiries.
- Involve SAF/LL in every congressional inquiry, visit, or investigation.
- Contact PA about restrictions, if any, on visits by political officeholders.
- Safeguard classified and sensitive information.
- Refer to AFI 90-401 for deadlines to notify SAF/LL of an inquiry, and involve your local SJA, IG, and PA offices for support.

## Environmental Law

REF: AFI 32-7000, *Environmental Quality*; various federal and state environmental laws

OPR: Commander; and Environmental Protection Committee

OCR: Staff Judge Advocate; Base Civil Engineering; and Air Force policy

### *Air Force policy*

Throughout the past 25 years or so, the government and regulators have attempted to protect the environment by enacting a myriad of environmental laws and regulations. Many environmental laws and statutes have been enacted in response to actual or perceived environmental disasters (the *Exxon Valdez* oil spill disaster; toxic chemicals at Love Canal; gas leakage at the Union Carbide plant in India, etc.). The Air Force is committed to complying with environmental laws and regulations, even when it is not required by law to do so.

Because fiscal and manpower costs associated with environmental programs are staggering, you must be familiar with the multiple constraints under which you must operate and be sensitive to any interface between the mission and environmental restrictions. Any delay in responding to environmental problems may cost thousands of dollars and hamper a base's ability to perform its mission. Not only must you be concerned due to mission impacts, but also you must be aware of the precedent for personal criminal liability.

### *Environmental laws*

Generally, environmental laws that constrain Air Force activities can be divided into two categories: planning laws and pollutant laws. Planning laws restrict the Air Force from implementing decisions that adversely affect the environment. Laws such as the National Environment Policy Act (NEPA), the Endangered Species Act, and the National Historic Preservation Act all limit the ability of the Air Force to implement decisions that would affect the environment. Pollutant laws establish pollution control regulations that apply to the Air Force. These laws pertain to areas that include water (Clean Water Act and Safe Drinking Water Act); air (Clean Air Act); noise (Noise Control Act); hazardous wastes (Resource Conservation and Recovery Act [RCRA] and Comprehensive Environmental Response, Compensation, and Recovery Act [CERCLA]); toxic substances (Toxic Substances Control Act); and pesticides (Federal Insecticide, Fungicide, and Rodenticide Act).

While it may appear a daunting task to understand each of the environmental laws and regulations that restrict or affect Air Force activities, environmental experts are available within the Air Force to guide and assist you through this process. The MAJCOMs, regional levels, and bases have engineering and legal experts available to

provide support in the environmental arena, (e.g., the environmental lawyer in your SJA office and the environmental branch of your BCE).

All pollution-abatement statutes (e.g., pertaining to the pollution of air and water as well as the handling of hazardous waste) carry civil and criminal penalties. Each of these statutes may be enforced by federal or state agencies. Additionally, in overseas locations, foreign statutes may also be enforced by foreign host-nation agencies. Under normal circumstances, military members and civilian employees are exempt from civil or administrative penalties. Regulators may seek civil penalties from the Air Force; however, the situation with respect to criminal liability is currently evolving.

Traditionally, criminal liability was attached only in environmental situations that involved criminal intent or wanton disregard of law or public safety. Nevertheless, enforcement agencies (including the Department of Justice [DOJ]) involved in hazardous wastes and control of hazardous substances have sought to reduce the "wanton" threshold to a "benign neglect" standard for supervisory personnel. In fact, they have successfully prosecuted private corporate officials under this standard.

The standard enunciated by DOJ is the "responsible corporate officer doctrine." Under this doctrine, high-level supervisory personnel can be held criminally responsible for the acts of subordinates in cases in which the supervisor exercises control over activities that give rise to the violation, despite the supervisor's apparent lack of knowledge regarding the specific violations.

On 23 February 1989, the US District Court for the District of Maryland found three Army civilian employees (an SES-4, a GS-15, and a GS-14) guilty of storing and disposing of hazardous wastes in violation of the RCRA at Aberdeen Proving Ground, Maryland. Regulators viewed this case as one to be emulated when federal facilities refuse to comply with environmental laws. The defendants were accused of storing, treating, and disposing of a variety of hazardous wastes from 1983 through 1986 without permits, as well as knowingly violating RCRA and Army regulations. The defendants were found guilty, based on their responsibilities under RCRA and Army regulations to obtain permits and supervise those who handled the waste; on their personal knowledge of the RCRA violations; and on their failure to respond when repeatedly warned that their failure to obey RCRA did cause harm. On 12 May 1989, the individuals were sentenced to three years probation, and the case set a precedent for criminal prosecutions of military and civilian personnel.

The DOJ did not provide attorneys to represent these defendants and forbade the Army to provide defense attorneys at the Army's expense. Ultimately, attorney fees reached a total of \$250,000. The message of Aberdeen goes beyond hazardous waste since most environmental-protection laws have similar criminal provisions for prison and monetary penalties.

Since Aberdeen, there have been further DOJ prosecutions of federal employees for environmental offenses. For example, an Army civilian manager of the wastewater treatment plant at Fort Meade, Maryland, was convicted of nine felony counts for violating permits and falsifying reports, receiving a sentence of eight months in jail. A Navy manager of an exchange auto-repair facility was convicted of illegal dumping of radiator fluid containing antifreeze and was sentenced to one-year probation and a \$500 fine. A civilian foreman of a sewage-treatment plant at March AFB, California, was convicted of falsifying records, assessed a \$5,000 fine, and sentenced to 18 months in jail, both suspended. A Navy employee in San Diego, California, was convicted of illegally disposing of hazardous waste and sentenced to community service and probation. Three Army civilians (two GS-12s and one GS-11) at Fort Benning, Georgia, were indicted for violations of the Endangered Species Act and making false official statements (two were placed in pretrial diversion and ordered to pay a \$1,500 civil penalty; charges against the third were dropped).

It is obvious that the DOJ will not hesitate to prosecute anyone who disregards environmental statutes and regulations (table 4). Many factors weigh on the decision of whether to prosecute: voluntary disclosure of violation before the regulators find out; cooperation with regulators; good-faith, self-auditing program (e.g., Environmental Compliance Assessment and Management Program [ECAMP]); internal disciplinary action; and subsequent compliance efforts, such as serious ECAMP follow-up. In order to stay out of trouble, you should document efforts to comply and promote environmental ethics (training and discipline). Your best defense against being charged for active, knowing participation in illegal activities is quite simple: obey the law, or, if you are in violation, work with your host nation (if applicable) or federal and state environmental regulators to become compliant with the law. In your role as a commander, vigilance is your defense against being charged for a violation of the law. Stay informed about what is going on environmentally on the base; consult with BCE and the SJA on matters of environmental compliance.

### **Commander's Checklist**

- You must be aware of the precedent for personal criminal liability in environmental violations. (The Aberdeen Proving Grounds case set the precedent for criminal prosecution of military/civilian personnel for environmental violations.)
- Two types of environmental laws constrain Air Force activities:
  - Planning laws
  - Pollution laws
- Military members and civilian employees are exempt from civil penalties.
- Criminal liabilities pertain only to cases involving criminal intent and wanton disregard of public safety.

**Table 4**  
**Maximum Penalties for Violating  
Federal Environmental Requirements**

STATUTE	CIVIL PENALTY*	CRIMINAL PENALTIES*	
		Willful or Negligent Violation	Withheld or Falsified Information
Clean Air Act	Administrative Penalty* Up to \$200K  Field Citations: \$5K Injunctions		Fines of up to \$250,000 and 5 Years in Prison
Comprehensive Environmental Response, Compensation, and Liability Act	\$25K, 1st \$75K, 2d	5 Years in Prison	5 Years in Prison
National Environmental Policy Act	Injunction	N/A	N/A
Resource Conservation and Recovery Act	\$25K/Day Injunction	\$50K/Day 2 Years in Prison (first offense) \$100K/Day 4 Years in Prison (subsequent offenses) \$250K*** 15 Years in Prison (knowing endangerment)	\$25K/Day 1 Year in Prison
Federal Insecticide, Fungicide, and Rodenticide Act	\$1K**	\$1K	N/A 1 Month in Prison
Toxic Substances Control Act	\$25K/Day Injunction	\$25K/Day 1 Year in Prison	N/A
<p>*Amounts do not include additional award of attorney fees.</p> <p>**Injunction may be granted if suit brought under the Administrative Procedures Act.</p> <p>***Organizational defendants may be fined up to \$1 million.</p>			

Source: David G. Ehrhart, ed., *The Military Commander and the Law*, 5th ed. (Maxwell AFB, Ala.: Air Force Judge Advocate General School, 2000), 551.



- The DOJ standard is that high-level supervisory personnel can be criminally responsible if they exercise control over activities giving rise to environmental violations.
- Tips to stay out of trouble:
  - Voluntarily disclose violations as soon as they are identified.
  - Cooperate with the regulators.
  - Have a good-faith, self-auditing program.
  - Take internal disciplinary action (when appropriate).
  - Document efforts to promote environmental ethics.
  - Be vigilant about what is happening environmentally on base.
  - Consult with the BCE and the SJA on environmental compliance.

## **Fraternization and Professional Relationships**

REF: DODD 5500.7-R, *Joint Ethics Regulation*; AFI 36-2909, *Fraternization and Professional Relationships*

OPR: Commander; First Sergeant; and Supervisor

OCR: Commander; and Staff Judge Advocate

### *Air Force policy*

Professional relationships, which are essential to the good order and discipline of the Air Force, are defined as the association and communication among members of all grades regarding careers, performance, unit mission, effectiveness, and similar subjects in workplace environments. However, fraternization and other unprofessional relationships can and do develop among officers, between enlisted members, and among officers and enlisted members. Relationships of this nature create the appearance that personal friendships and desires are more important than individual performance and contributions to the mission. For commanders and supervisors, these become matters of concern because they erode morale, discipline, and the organization's ability to perform its mission.

### **Commander's Checklist**

- All members must respect authority and maintain military customs and courtesies, which include avoiding fraternization and unprofessional relationships.
- Fraternization is defined as personal relationships between officers and enlisted members in violation of acceptable behavior in the Air Force, which prejudice good order and discipline or discredit the armed forces.

- Unprofessional relationships describe personal relationships among officers, among enlisted members, and among officers and enlisted members (fraternization), which result in inappropriate familiarity or create the appearance of favoritism, preferential treatment, or impropriety.
- Any relationship that damages your unit's morale, discipline, or efficiency requires immediate action. The following situations are examples of situations that can cause problems:
  - Unprofessional relationships in the same chain of command, organization, or closely related unit.
  - Senior members dating or becoming personally obligated or indebted to junior members.
  - Senior personnel dating, courting, or simply becoming close friends with junior members always run the risk of developing a real or perceived unprofessional relationship.
  - Officers making a habit of spending off-duty time with enlisted personnel, regardless of gender or nature of their relationship.
- Commanders and supervisors should use their authority to maintain good order and discipline within their units.
  - Consider administrative actions including counseling, reprimanding, removing, demoting, or processing member for administrative separation.
  - Consider punitive action, when appropriate, especially for favoritism, partiality, or misuse of grade or position, which may be violations of the UCMJ.

## **Human Immunodeficiency Virus Program**

REF: AFI 48-135, *Human Immunodeficiency Virus Program*

OPR: Commander

OCR: Director of Base Medical Services; Military Public Health; Mission Support Squadron/Military Personnel Flight; and Staff Judge Advocate

*Air Force policy  
and regulatory  
guidance*

All active duty, Guard, and Reserve component personnel are screened for serological evidence of human immunodeficiency virus (HIV) infection in the following circumstances: (1) in conjunction with periodic physical examinations, (2) for clinically indicated reasons, (3) prior to assignment overseas, (4) prior to consecutive overseas tours, (5) during pregnancy, (6) during a visit to a sexually transmitted disease (STD) clinic, or (7) upon entry to a drug- or alcohol-rehabilitation program. Previously, the DOD required all military members to be periodically tested every two years; however, due to low rates of infections in military members, that requirement was changed to the above conditions. All applicants for enlistment or appointment to the Air Force are screened for

evidence of HIV infection. Applicants infected with HIV are ineligible for enlistment or appointment to the Air Force, and no waivers for HIV infection are authorized. Due to the increased exposure of medical personnel to blood and body fluids, more frequent HIV testing is indicated for medical personnel.

All Air Force personnel testing positive are counseled by a physician regarding the significance of a positive test. They are given information on modes of transmission, appropriate precautions, and future risks. Referral to Wilford Hall Medical Center (WHMC), Texas, follows for medical evaluation and a medical evaluation board (MEB) to determine fitness for duty. The medical evaluation follows the DOD standard clinical protocol and evaluates T-helper cell counts. Active duty members found fit for duty will not be separated solely for HIV seropositivity. HIV-infected Reserve component members not on extended active duty or full-time guardsmen duty shall be transferred to the Standby Reserve only if they cannot be utilized in the Selected Reserve.

HIV-infected active duty members retained on active status duty must be medically evaluated twice a year and are assigned within the United States, including Alaska, Hawaii, and Puerto Rico. HIV-infected members will not be assigned to a mobility position, and infected flying-status members must be placed on duty not involving flying (DNIF) status pending medical evaluation. Members on PRP or other security-sensitive positions must be removed pending medical evaluation. Unit commanders should use medical advice from the DBMS to evaluate each individual on a case-by-case basis for return to PRP or other security-sensitive positions.

HIV-infected Air Force members will be given an "Order to Follow Preventive Medicine Requirements" by their unit commander. (See AFI 48-135, attachment 13, for a copy of the order.) The order will be dated and signed by both the member and the unit commander. It is the unit commander's responsibility to store and safeguard the order to protect the privacy of the individual. The order may be stored in either the unit personnel information file or a classified safe, sealed in an envelope marked "FOR THE EYES OF THE COMMANDER ONLY." Air Force policy strictly safeguards results of positive HIV testing. The release of such information to persons outside the Air Force without the member's consent is not permitted. Within the Air Force, a very limited release is granted, based on a need-to-know basis only. Unit commanders should not inform first sergeants or supervisors unless a determination is made that those individuals truly need to know.

HIV-infected members should be allowed to continue working as long as they are able to maintain acceptable performance and do not pose a safety or health threat to themselves or others in the workplace. If performance or safety problems arise, managers and supervisors address them using existing personnel policies and instructions.

### Commander's Checklist

- Applicants infected with HIV are ineligible for enlistment in the Air Force.
- Members who test positive for HIV and are fit for duty will not be separated solely for seropositivity.
- HIV-infected reservists not on extended active duty or full-time ANG duty will be transferred to the Standby Reserve if they cannot be used in the Selected Reserve.
- HIV-infected active duty members will be
  - medically evaluated twice a year,
  - only assigned within the United States and Puerto Rico,
  - assigned to something other than a mobility position,
  - placed on DNIF status, and
  - removed from security-sensitive positions pending medical evaluation.
- The unit commander will give the HIV-infected member an "Order to Follow Preventive Medicine Requirement" (copy in AFR 48-135, attachment 13).
- The unit commander is responsible for safeguarding the order to protect the privacy of the individual (by placing it in a sealed envelope marked "FOR THE EYES OF THE COMMANDER ONLY" and storing it in a classified safe), with limited access granted on a need-to-know basis.
- HIV-infected members should be allowed to continue working as long as they maintain acceptable performance and pose no health hazard.

### Homosexual Conduct

REF: AFI 36-2002, *Regular Air Force Special Category Accessions*; AFI 71-101, vol. 1, *Criminal Investigations, Counterintelligence, and Protective Service Matters*; AFI 36-3206, *Administrative Discharge Procedures for Officers*; AFI 36-3207, *Separating Commissioned Officers*; AFI 36-3208, *Administrative Separation for Airmen*; AFI 51-602, *Boards of Officers*

OPR: Commander; Air Force Office of Special Investigations; and Mission Support Squadron

OCR: Staff Judge Advocate

#### *DOD policy*

According to the DOD policy of "Don't Ask, Don't Tell, Don't Pursue," sexual orientation is considered a personal and private matter. Homosexual orientation will not disqualify an individual from entering or continuing service unless it is manifested by homosexual "conduct." Therefore, the key distinction is conduct versus mere orientation.

#### *Definitions*

Conduct is defined as an act, statement, or propensity (marriage or attempted marriage). These are defined below in the context of homosexuality.

*Act.* Any bodily contact, actively undertaken or passively permitted, between members of the same sex for the purpose of satisfying sexual desires, or any bodily contact that a reasonable person would understand as demonstrating a propensity or intent to engage in homosexual acts.

*Statement.* A statement that a member is homosexual or bisexual, or words to that effect. It includes language or describes behavior that a reasonable person would believe is intended to convey the statement that a person engages in or has a propensity or intent to engage in homosexual acts. Examples would include statements such as: "I am a homosexual;" "I am gay;" "I am lesbian;" or "I have a homosexual orientation."

*Propensity.* More than an abstract preference or desire to engage in homosexual acts. It indicates a "likelihood" that a person engages in or will engage in homosexual acts.

*Accessions*

The policy with respect to recruiting and accessions is "Don't Ask." Applicants will not be asked to reveal their sexual orientation or to indicate whether they have engaged in past homosexual conduct. All applicants are informed of the separation policy for homosexual conduct. An applicant may be refused entry into the Air Force only when independent evidence demonstrates that the applicant has engaged in homosexual conduct.

*Separations*

You must initiate separation action if there is probable cause to believe that a member under your command has engaged in homosexual conduct (acts, statements, marriage, or attempted marriage). Military members are entitled to a board hearing if separation action is initiated for homosexual conduct, and all members are afforded full due-process rights as outlined in AFI 51-602.

Administrative discharge for homosexual conduct includes the following characterizations:

- honorable or general (special court-martial is separation authority)
- under other than honorable conditions (UOTHC) (general court-martial is separation authority).

If a member is to be separated with a UOTHC discharge, an inquiry/investigation must establish that the conduct involved such aggravating factors as (1) the use of force, coercion, or intimidation; (2) involvement of a person under 16 years of age; (3) involvement of a subordinate in circumstances that violate the military customary superior-subordinate relationships; (4) acts conducted openly in public view; (5) acts conducted for compensation; (6) acts conducted aboard a military vessel or aircraft; or (7) act conducted in another location subject to military control under aggravating circumstances.

*Homosexual  
statements*

Statements create a rebuttable presumption that a service member engages in, attempts or intends to engage in, or has a propensity to

engage in homosexual acts. When determining whether a member has successfully rebutted the presumption that he or she engages in or has a propensity or intent to engage in homosexual acts, one must consider some or all of the following:

- Whether the member has engaged in homosexual acts
- The member's credibility
- Testimony from others about the member's past conduct, character, and credibility
- The nature and circumstances of the member's statement
- Any other evidence relevant to whether the member is likely to engage in homosexual acts

Two key concepts to characterize inquiries and investigations of homosexual conduct: (1) either you or someone appointed by you conducts inquiries, and (2) investigations are conducted only by the AFOSI or some other DOD law-enforcement organization. Inquiries or investigations used solely to determine a member's sexual orientation are absolutely prohibited. To avoid any appearance of discrimination, one should ensure that investigations of or inquiries into heterosexual and homosexual misconduct be subject to equal command review and action. Sexual act(s) in violation of the *UCMJ* occurring in private between consenting adults, whether on or off a military installation, will ordinarily be referred to the member's commander for an informal inquiry.

Inquiries and investigations are limited to the factual circumstances "directly" relevant to the specific allegations. Informal fact-finding inquiries are the preferred method of addressing homosexual conduct. Only the member's commander may initiate a fact-finding inquiry into alleged homosexual conduct, but there is no prohibition on further AFOSI investigation, if warranted.

A commander's inquiry must be based on credible information that a basis for discharge exists. In other words, you must have a "reasonable belief" that the military member engaged in homosexual conduct (an act, statement, or marriage/attempted marriage). The existence of credible information depends upon a "totality of circumstances," which includes the source of the information and the surrounding circumstances. If, during the course of a commander's inquiry, it is determined that credible information of a *UCMJ* violation has occurred, you may request that the AFOSI conduct an investigation. AFOSI commanders may decline to conduct an investigation if, after an independent evaluation, they determine a lack of credible information indicating a *UCMJ* violation occurred. Any inquiry or investigation must be based on substantiated facts, not just a belief or suspicion. All information relating to homosexual allegations involving force and/or children under 16 years of age must be immediately presented to the local AFOSI detachment for further inquiry.

Credible information does not include information based solely on associating with known homosexuals, patronizing gay bars, possessing or reading homosexual publications, marching in a gay-rights rally in civilian clothes, or listing someone of the same gender as an emergency contact or as an insurance beneficiary. Additional requirements may be found in MAJCOM sources; for example, some MAJCOMs require that all inquiries and investigations of homosexual conduct be initiated at the installation or wing-commander level.

*Advisement*

Prior to questioning, the member must be advised of DOD policy on homosexual conduct; in other words, that homosexual conduct (acts, statements, and marriages) is a basis for discharge. The member must also be advised of his or her rights under Article 31, *UCMJ*, if otherwise appropriate.

*Reporting requirements*

All command inquiries concerning homosexual conduct must be reported to Headquarters USAF/Judge Advocate General when they are initiated. (AFOSI investigations will be reported via AFOSI channels.) The report should include a short narrative summary of circumstances that led you to direct the inquiry. A follow-on report is also required indicating when the inquiry was closed and what action, if any, was taken. The SJA can provide additional guidance.

### **Commander's Checklist**

- An applicant will be refused entry into the Air Force if there is independent evidence of homosexual conduct.
- Conduct is defined as a marriage or attempted marriage with a person of the same sex, or an act or statement that a reasonable person would interpret as a propensity to engage in homosexual activity.
- You must initiate separation action if any member of your unit has engaged in homosexual conduct.
- The member is afforded full rights as outlined in AFR 51-602.
- Characterizations of discharges that may be given for homosexual conduct are as follows:
  - Honorable or general (special court-martial authority); and
  - Under other than honorable conditions (general court-martial is the authority).
- The UOTHC discharge may be given for conduct that occurred under one of several aggravating factors:
  - The use of force or intimidation
  - Involvement of a subordinate under circumstances that violate superior-subordinate relationships
  - Involvement of a person under 16 years of age
  - Acts conducted openly in public
  - Acts conducted for compensation
  - Acts conducted aboard a military vessel or aircraft, or under aggravating circumstances in any location subject to military control

- Any or all of the following may be considered when the service member rebuts the presumption that he or she engages in or has a propensity to engage in homosexual conduct:
  - The member's credibility
  - Previous engagement in homosexual acts
  - Testimony from others about the member's past conduct, character, and credibility
  - The nature and circumstances of the member's statement
  - Any other evidence as to likelihood of the member's engaging in homosexual acts
- The commander or someone appointed by the commander conducts inquiries; investigations are conducted by the AFOSI or another DOD law-enforcement agency.
  - Investigations/inquiries used solely to determine a member's sexual orientation are prohibited.
  - Heterosexual and homosexual misconduct should be subject to equal command review and action.
- A commander's inquiry must be based on credible information that the member engaged in homosexual conduct. It must not be based on any of the following:
  - Mere belief or suspicion
  - Information based solely on the member's associating with known homosexuals, marching in gay parades, or reading homosexual publications.
- Before being questioned, the member must be advised of DOD policy on homosexuality and of his or her rights under Article 31, *UCMJ*.
- All commander inquiries concerning homosexual conduct must be reported to Headquarters USAF/Judge Advocate General when they are initiated. The commander must issue a follow-on report when the inquiry is closed.
- The SJA can provide you with advice and guidance on implementing the Air Force's policy on homosexuals in the service.

### **Misconduct of Senior Officials**

REF: DODD 5505.6, *Investigations of Allegations against Senior Officials of the Department of Defense*; AFI 90-301, *Inspector General Complaints*  
 OPR: Inspector General  
 OCR: Commander; Staff Judge Advocate; and Air Force Office of Special Investigations

*DOD policy*

Because of adverse incidents involving senior DOD officials (Tailhook, for example), DOD issued strict guidance that requires the reporting of nonfrivolous allegations of misconduct involving senior DOD officials also be reported to the DOD/Service Inspector



General for potential investigation. AFI 90-301 implements this directive and establishes strict standards for reporting and investigating allegations of misconduct by senior Air Force officials (i.e., active duty, retired, Reserve, and Guard officers in the grade of colonel [O-6] and above, and civilian employees above the grade of GS/GM-15, including former and current Senior Executive Service [SES] employees and presidential appointees).

*Allegations covered*

AFI 90-301 is fairly all encompassing in its discussion of what types of allegations must be reported or investigated. The instruction states that such allegations (if not obviously frivolous), if proven, would constitute an abuse of authority or would violate criminal law, the *Joint Ethics Regulation*, the Anti-Deficiency Act, civilian-personnel policies, or provisions on discrimination or substance abuse. It also includes matters involving an abuse of authority; fraud, waste, and abuse; reprisal; medical providers whose privileges are adversely affected; or any matter that would otherwise reflect adversely on the official's judgment or ability to perform in the present or next higher grade.

*Reporting allegations*

When you receive an allegation against a senior official, you must report it to SAF/IG within five working days of receipt. There are two authorized means of reporting these allegations: "eyes only" datafax to the chief, Senior Official Complaints (SAF/IGI), or "INSPECDIS" message to SAF/IG. In addition to direct reporting to SAF/IG, allegations must be reported up the chain of command.

*Investigative policy*

The DOD/IG or SAF/IG has the right to preempt the command and assume investigative responsibility. If the DOD and SAF decline to preempt the command (as in the vast majority of cases), then command-directed investigations are appropriate. You should, as is normal operating procedure, refer allegations of criminal misconduct to the AFOSI.

Time is of the essence in these cases because a complete copy of the investigation must be sent to SAF/IG within five working days of completion.

### **Commander's Checklist**

- Any serious allegation against a senior DOD official must be reported to the DOD/IG.
- Senior officials include all active duty, retired, Reserve, and Air National Guard officers in the grade of colonel and above, as well as civilian employees above the grade of GS/GM-15, including SES employees and presidential appointees.
- AFI 90-301 lists the types of allegations that must be reported and investigated.
- Any commander who receives an allegation against a senior official must report it to the SAF/IG within five working days of receipt. There are two authorized ways to report an allegation:
  - "Eyes Only" datafax to the chief, Senior Official Complaints; and
  - "INSPECDIS" message to SAF/IG.

- DOD/IG or SAF/IG can assume investigative responsibility. If they decline to do so, then command-directed investigations are appropriate.
- You should refer allegations of criminal misconduct to AFOSI.

## **Sexual Harassment**

REF: AFI 36-2705, *Discrimination and Sexual Harassment*; AFI 36-1206, *Military Equal Opportunity and Treatment Program*  
 OPR: Commander; and Military Equal Opportunity and Treatment Office  
 OCR: Staff Judge Advocate

Sexual harassment in the workplace is an extremely serious problem and will be dealt with severely. The Air Force has zero tolerance for sexual harassment.

### *Sexual harassment defined*

- Sexual harassment is a form of discrimination that involves unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when any of the following is the case:
  - Submission to or rejection of such conduct is made—either explicitly or implicitly—a term or condition of a person’s job, pay, or career.
  - Submission to or rejection of such conduct by a person is used as a basis for career or employment decisions affecting that person.
  - Such conduct interferes with an individual’s performance or creates an intimidating, hostile, or offensive environment.
  - Such conduct by a supervisor or commander involves the use or condoning of implicit or explicit sexual behavior to control, influence, or affect the career, pay, or job of a military member or civilian employee.
  - Such conduct includes deliberate or repeated unwelcome gestures, verbal comments, or physical contact of a sexual nature.

### *Types of sexual harassment*

- The two basic types are tangible sexual harassment and hostile-environment sexual harassment.
  - Tangible sexual harassment occurs when an employee suffers or is threatened with some kind of “pocketbook” injury or tangible job benefit. This form almost always involves a supervisor/subordinate relationship in which the employee is told to “put out or get out” (i.e., “submit to my sexual requests or you will be fired, demoted, or intimidated—denied a

promotion or award, training opportunity, or objective appraisal”).

- Hostile-environment sexual harassment occurs when a supervisor, coworker, or someone else with whom the employee comes into contact on the job creates an abusive work environment or interferes with the employee’s work performance through word or deed because of the employee’s gender. A sexually hostile work environment can be created by any one of the following:
  - Discussing sexual activities
  - Making unnecessary physical contact
  - Commenting on physical attributes
  - Displaying sexually suggestive pictures
  - Using demeaning or inappropriate terms, such as *babe*
  - Using unseemly or suggestive gestures
  - Ostracizing workers of one gender
  - Granting job favors to those who participate in consensual sexual activity
  - Using crude and offensive language

#### **Commander’s Checklist**

- Clearly publish the Air Force’s policy on sexual harassment (i.e., “zero tolerance”).
- Ensure that avenues of communication and complaint are well publicized throughout the unit.
- Provide appropriate training on sexual harassment.
- Act quickly to investigate all complaints of sexual harassment.
- Seek advice from your SJA before taking action against offenders.

### **Standards of Ethical Conduct**

REF: DODD 5500.7-R, *Joint Ethics Regulation*

OPR: Commander

OCR: Staff Judge Advocate

It is fundamental Air Force policy that personnel shall not engage in any personal business or professional activity that places them in a position of conflict between their private interests and the public interest of the United States. In order to preserve the public confidence in the Air Force, even the appearance of a conflict of interest must be avoided. Air Force personnel shall not use inside information to further a private gain

for themselves or others if that information is not generally available to the public and was obtained by reason of their Air Force position.

You are responsible for ensuring that personnel, upon their assumption of Air Force duties, be thoroughly informed of the standards of conduct enunciated in the *Joint Ethics Regulation*. You can fulfill the requirements of annually reminding personnel of the regulation by requiring them to read it, posting bulletin board items, making available regularly published literature, and talking about it at commander's calls.

Personnel may obtain further clarification of the standards of conduct and conflict-of-interest provisions by consulting with the base legal office. You should realize that you must resolve conflicts of interest immediately. The regulation prohibits some specific activities as discussed below.

*Gifts*

Active duty members may not make personal commercial solicitations or solicited sales to DOD personnel junior in rank at any time (on or off duty, in or out of uniform), specifically for insurance, stocks, mutual funds, real estate, or any other commodity, good, or service.

Members may not accept any gift, entertainment, or item of value from any person or company that is engaged in procurement activities or business with any DOD agency. Because interpretation of this paragraph is sometimes difficult, do not hesitate to consult the SJA. Additionally, active duty military or civilian personnel may not use their grades, titles, or positions in connection with any commercial enterprise or for endorsing a commercial product.

*Off-duty  
employment*

Also prohibited is outside or off-duty employment if it interferes with or is incompatible with the performance of government duties, or if it might discredit the government.

*Solicitation*

Solicitation of contributions for gifts to an official superior, except voluntary gifts or contributions of nominal value on special occasions like marriage, illness, transfer, or retirement is forbidden. The general rule is that employees (military and civilian members) may not solicit or accept a gift from a prohibited source or one given because of their official position. Prohibited sources are persons or organizations seeking business with DOD, regulated by DOD, or affected by the performance of the member's duty.

Members may not give or solicit gifts to an official superior or accept a gift from a lower-paid employee unless the donor and recipient are friends and there is no superior-subordinate relationship. The official superior is not limited to the chain of command but applies to anyone whose official responsibilities involve directing or evaluating the performance of the member or his or her official superior. Exceptions to the rule prohibiting acceptance of gifts from outside sources include unsolicited gifts with a market value of (see AFI) or less per occasion (including taxes/gratuities), aggregating no more than (see AFI) from any one source in a calendar year. Also exempt are gifts clearly motivated by family relationship or personal friendship, items other than cash aggregating (see AFI) or less per occasion, and widely attended gatherings that are part of member's duties or further the agency's

interests. The bottom line on gifts, regardless of exceptions, is that a member can never accept a gift in return for influence, solicit a gift, or accept a gift if acceptance creates the appearance that it was given or is acceptable.

#### *Ethics regulations*

The Ethics Reform Act of 1989 (P.L. 101-694) prohibited all officers on active duty and all civilian employees from accepting an honorarium (payment) for an appearance, speech, or article. "Appearance" was defined as attendance at a public or private conference, convention, meeting, social event, or like gathering, and the incidental conversation or remarks made at that time. The definition of "article" excluded fiction, poetry, and lyrics. The ban applied even if no connection existed between the subject of the appearance, speech, or article and the member's official duties. On 22 February 1995, the US Supreme Court struck down the ban for all personnel except Senior Executive Service officials. It is expected that Congress will enact a more limited ban that would only restrict honoraria for speeches and writings directly related to a federal worker's duties.

The *Joint Ethics Regulation* imposes annual requirements on certain officers in the grade of O-5 or above and specific requirements on general officers. Consult your local SJA for details. If you have specific questions concerning the *Joint Ethics Regulation*, the installation SJA is the standard-of-conduct counselor and can assist you.

### **Commander's Checklist**

- Each commander must ensure that the standards included in the *Joint Ethics Regulation* are brought to the attention of all personnel.
- The regulation prohibits active duty members from some specific activities:
  - Making personal commercial solicitations or sales to DOD personnel junior in rank, specifically for insurance, stocks, mutual funds, real estate, and other goods and services
  - Accepting something of value from any person or company engaged in procurement or other business with a DOD agency (consult with SJA for an interpretation)
  - Using grades, titles, or positions to endorse a commercial product
  - Accepting off-duty employment that is incompatible with the performance of government duties or that might discredit the government
  - Soliciting contributions for gifts to an official superior, except gifts of nominal value for special occasions
- The general rule is that members may not solicit or accept gifts given by prohibited sources because of their position.
  - Prohibited sources are persons/organizations seeking influence with DOD members.
  - A member may not give or solicit a gift to an official superior (i.e., anyone involved in directing or evaluating the member's performance).

- The bottom line on gifts is that a member cannot accept a gift in return for influence or accept a gift that creates the impression that it was given for improper influence.
- Mileage credit (frequent-flyer miles) earned during official travel may be used for personal travel or personal-travel upgrades provided they are obtained under the same terms as those offered to the general public and are available at no additional expense to the government.
- On 22 February 1995, the US Supreme Court struck down the ban on honoraria for all personnel except SES officials.
- The commander's best counselor and advisor on the *Joint Ethics Regulation* is the base SJA.

## Joint Doctrine

Joint doctrine offers a common perspective that fundamentally shapes the way we think and train for war. Reflecting the nature of modern warfare and the strategic requirements of our nation, it is built on war-fighting theory and practical experience. This doctrine applies the principles of war, the fundamentals of joint warfare, and key concepts consistent with US policy.

This chapter provides commanders with a quick reference for the doctrinal guidance put forth by the CJCS catalog of joint publications. It is imperative that you acquire a copy of the *Joint Electronic Library (JEL)* CD-ROM, containing all of the joint doctrine publications (they can also be accessed on-line at <http://www.dtic.mil/doctrine>). The CJCS emphasizes the importance of using the various concepts as a basis for discussion and debate in your organization to ensure understanding and practice. To that end, Gen Henry H. Shelton, former CJCS, stresses in Joint Publication (Pub) 1 that “commanders must understand, teach, and apply joint doctrine as they prepare and train the Nation’s service men and women for joint force employment. Please ensure the widest distribution of . . . joint publications, promoting their use at every opportunity.”<sup>1</sup>

While each of the following keystone publications provides overarching guidance for its respective area, remember that subordinate publications containing specific guidance exist under each keystone area. For example, under Joint Pub 3-0, *Doctrine for Joint Operations*, one would find Joint Pub 3-09, *Doctrine for Joint Fire Support*.

The following is a brief overview of the guidance found in the joint publications library:

Joint Pub 0-2, *Unified Action Armed Forces (UNAAF)*. Provides doctrine and policy governing unified direction of forces, discusses the chain of command and relationships between combatant commands and the military departments, covers command relationships and other authorities, and provides doctrine and policy for establishing joint commands.

Joint Pub 1, *Joint Warfare of the Armed Forces of the United States*. Guides the joint action of the US armed forces, discusses the nature of American military power, addresses values in joint warfare, analyzes the fundamentals of joint warfare, and describes the joint campaign.

Joint Pub 1-0, *Doctrine for Personnel Support to Joint Operations*. Provides the manpower and personnel directorate (J-1) mission and organization, identifies essential elements of personnel support, covers authorities and responsibilities for personnel support to joint operations, addresses J-1 responsibilities by functional area, addresses planning for personnel support to joint operations, and addresses considerations for establishment of a subordinate joint-force headquarters.

- Joint Pub 1-05, *Religious Ministry Support for Joint Operations*
- Joint Pub 1-06, *Joint Tactics, Techniques, and Procedures (JTTP) for Financial Management during Joint Operations*

Joint Pub 2-0, *Joint Doctrine for Intelligence Support to Joint Operations*. Discusses the nature of intelligence, covers the purposes of intelligence, provides joint-intelligence principles and assigns joint-intelligence responsibilities, discusses intelligence functions

for joint operations, explains the joint-intelligence architecture, and provides guidance concerning intelligence for multinational operations.

- Joint Pub 2-01, *Joint Intelligence Support to Military Operations*
- Joint Pub 2-01.3, *Joint Tactics, Techniques, and Procedures (JTTP) for Joint Intelligence Preparation of the Battlespace*
- Joint Pub 2-02, *National Intelligence Support to Joint Operations*
- Joint Pub 2-03, *Joint Tactics, Techniques, and Procedures for Geospatial Information and Services Support to Joint Operations*

Joint Pub 3-0, *Doctrine for Joint Operations*. Discusses the strategic environment within which joint operations take place, lists the fundamental principles of joint operations, covers planning guidelines for war and military operations other than war (MOOTW), describes the considerations for the conduct of joint operations during war, provides principles for MOOTW, and discusses considerations for multinational operations.

- Joint Pub 3-01, *Joint Doctrine for Countering Air and Missile Threats*
- Joint Pub 3-01.1, *Aerospace Defense of North America*
- Joint Pub 3-01.4, *Joint Tactics, Training, and Procedures (JTTP) for Joint Suppression of Enemy Air Defenses*
- Joint Pub 3-01.5, *Doctrine for Joint Theater Missile Defense*
- Joint Pub 3-02, *Joint Doctrine for Amphibious Operations*
- Joint Pub 3-02.1 T, *Joint Doctrine for Landing Force Operations*
- Joint Pub 3-02.2, *Joint Doctrine for Amphibious Embarkation*
- Joint Pub 3-03, *Doctrine for Joint Interdiction Operations*
- Joint Pub 3-04.1, *JTTP for Shipboard Helicopter Operations*
- Joint Pub 3-05, *Doctrine for Joint Special Operations*
- Joint Pub 3-05.3, *Joint Special Operations Operational Procedures*
- Joint Pub 3-05.5, *Joint Special Operations Targeting and Mission Planning Procedures*
- Joint Pub 3-07, *Joint Doctrine for Military Operations other than War*
- Joint Pub 3-07.1, *JTTP for Foreign Internal Defense (FID)*
- Joint Pub 3-07.2, *JTTP for Antiterrorism*
- Joint Pub 3-07.3, *JTTP for Peace Operations*
- Joint Pub 3-07.4, *Joint Counterdrug Operations*
- Joint Pub 3-07.5, *JTTP for Noncombatant Evacuation Operations (NEO)*
- Joint Pub 3-08, *Interagency Coordination during Joint Operations*, vol. 1
- Joint Pub 3-08, *Interagency Coordination during Joint Operations*, vol. 2
- Joint Pub 3-09, *Doctrine for Joint Fire Support*
- Joint Pub 3-09.1, *JTTP for Laser Designation Operations*
- Joint Pub 3-09.3, *JTTP for Close Air Support (CAS)*
- Joint Pub 3-10, *Joint Doctrine for Rear Area Operations*
- Joint Pub 3-10.1, *JTTP for Base Defense*
- Joint Pub 3-11, *Joint Doctrine for Operations in Nuclear, Biological, and Chemical (NBC) Environments*



- Joint Pub 3-12, *Doctrine for Joint Nuclear Operations*
- Joint Pub 3-12.1, *Doctrine for Joint Theater Nuclear Operations*
- Joint Pub 3-13, *Joint Doctrine for Information Operations (IO)*
- Joint Pub 3-13.1, *Joint Doctrine for Command and Control Warfare (C<sup>2</sup>W)*
- Joint Pub 3-15, *Joint Doctrine for Barriers, Obstacles, and Mine Warfare*
- Joint Pub 3-16, *Joint Doctrine for Multinational Operations*
- Joint Pub 3-17, *JTTP for Theater Airlift Operations*
- Joint Pub 3-33, *Joint Force Capabilities*
- Joint Pub 3-34, *Engineer Doctrine for Joint Operations*
- Joint Pub 3-35, *Joint Deployment and Redeployment Operations*
- Joint Pub 3-50, *National Search and Rescue Manual*, vol. 1, *National Search and Rescue System*
- Joint Pub 3-50.1, *National Search and Rescue Manual*, vol. 2, *Planning Handbook*
- Joint Pub 3-50.2, *Doctrine for Joint Combat Search and Rescue*
- Joint Pub 3-50.21, *JTTP for Combat Search and Rescue (CSAR)*
- Joint Pub 3-50.3, *Joint Doctrine for Evasion and Recovery*
- Joint Pub 3-51, *Joint Doctrine for Electronic Warfare*
- Joint Pub 3-52, *Doctrine for Joint Airspace Control in a Combat Zone*
- Joint Pub 3-53, *Doctrine for Joint Psychological Operations*
- Joint Pub 3-54, *Joint Doctrine for Operations Security*
- Joint Pub 3-55, *Doctrine for Reconnaissance, Surveillance, and Target Acquisition Support for Joint Operations*
- Joint Pub 3-55.1, *JTTP for Unmanned Aerial Vehicles (UAV)*
- Joint Pub 3-56.1, *Command and Control for Joint Air Operations*
- Joint Pub 3-57, *Doctrine for Joint Civil Affairs*
- Joint Pub 3-58, *Joint Doctrine for Military Deception*
- Joint Pub 3-59, *Joint Doctrine, Tactics, Techniques, and Procedures for Meteorological and Oceanographic Operations*
- Joint Pub 3-61, *Doctrine for Public Affairs in Joint Operations*

Joint Pub 4-0, *Doctrine for Logistic Support of Joint Operations*. Covers authorities and responsibilities for logistic operations, provides logistic principles and considerations, discusses logistic planning, and gives guidance on logistics at the theater level.

- Joint Pub 4-01, *Joint Doctrine for the Defense Transportation System*
- Joint Pub 4-01.1, *JTTP for Airlift Support to Joint Operations*
- Joint Pub 4-01.2, *JTTP for Sealift Support to Joint Operations*
- Joint Pub 4-01.3, *JTTP for Movement Control*
- Joint Pub 4-01.4, *JTTP for Joint Theater Distribution*
- Joint Pub 4-01.5, *JTTP for Water Terminal Operations*
- Joint Pub 4-01.6, *JTTP for Joint Logistics over the Shore*
- Joint Pub 4-01.7, *JTTP for Use of Intermodal Containers in Joint Operations*
- Joint Pub 4-01.8, *JTTP for Joint Reception, Staging, Onward Movement, and Integration*

- Joint Pub 4-02, *Doctrine for Health Service Support in Joint Operations*
- Joint Pub 4-02.1, *JTTP for Health Service Logistic Support in Joint Operations*
- Joint Pub 4-02.2, *JTTP for Patient Movement in Joint Operations*
- Joint Pub 4-03, *Joint Bulk Petroleum Doctrine*
- Joint Pub 4-04, *Joint Doctrine for Civil Engineering Support*
- Joint Pub 4-05, *Joint Doctrine for Mobilization Planning*
- Joint Pub 4-05.1, *JTTP for Manpower Mobilization and Demobilization Operations: Reserve Component (RC) Call-Up*
- Joint Pub 4-06, *JTTP for Mortuary Affairs in Joint Operations*

Joint Pub 5-0, *Doctrine for Planning Joint Operations*. Covers the joint-operation planning processes and concepts, discusses strategic direction and integration, addresses both deliberate and crisis action planning, and covers the relationship between joint-operation planning and assessment.

- Joint Pub 5-00.2, *Joint Task Force (JTF) Planning Guidance and Procedures*

Joint Pub 6-0, *Doctrine for Command, Control, Communications, and Computer (C<sup>4</sup>) Systems Support to Joint Operations*. Describes the role of C<sup>4</sup> systems, outlines objectives and components, provides basic C<sup>4</sup> systems principles, explains C<sup>4</sup> systems configuration and infrastructure, discusses the planning process and employment responsibilities, outlines joint and multinational standardization and procedures, and covers the global C<sup>4</sup> infrastructure.

- Joint Pub 6-02, *Doctrine for Employment of Operational/Tactical C<sup>4</sup> Systems*
- *Joint Doctrine Capstone and Keystone Primer, Appendix A* (Joint-force employment considerations)
  - Joint-force employment
  - Considerations for combat
  - Operational art
  - MOOTW
  - Intelligence support to joint operations
  - Logistic support to operations
  - Joint-operation planning
  - Joint air operations
  - Military aspects of information warfare

#### **Notes**

1. Joint Publication 1, *Joint Warfare of the Armed Forces of the United States*, 14 November 2000, n.p.

# **Appendix**

## **Index of Publications Cited**

*Directive, Instruction, Doctrine, or Pamphlet*

### **DOD Directives**

DODD 1322.8	<i>Voluntary Education Programs for Military Members</i>
DODD 1327.5	<i>Leave and Liberty</i>
DODD 5400.4	<i>Provision of Information to Congress</i>
DODD 5505.6	<i>Investigations of Allegations against Senior Officials of the Department of Defense</i>
DODD 5500.7-R	<i>Joint Ethics Regulation</i>

### **Air and Space Medical**

AFI 40-301	<i>Family Advocacy Program</i>
AFI 40-501	<i>The Air Force Fitness Program</i>
AFI 40-502	<i>The Weight Management Program</i>
AFI 44-120	<i>Drug Abuse Testing Program</i>
AFI 44-121	<i>Alcohol and Drug Abuse Prevention and Treatment (ADAPT) Program</i>
AFI 48-135	<i>Human Immunodeficiency Virus Program</i>
AFPD 40-3	<i>Family Advocacy Program</i>
AFPD 40-5	<i>Fitness and Weight Management</i>

### **Civil Engineering**

AFI 32-6005	<i>Unaccompanied Housing Management and Operations</i>
AFI 32-7000	<i>Environmental Quality</i>

### **Command Policy**

AFI 90-301	<i>Inspector General Complaints</i>
AFI 90-401	<i>Air Force Relations with Congress</i>

### **Communications**

AFI 33-111	<i>Telephone Systems Management</i>
AFI 33-119	<i>Electronic Mail (E-mail) Management and Use</i>
AFI 33-129	<i>Transmission of Information via the Internet</i>

### **Doctrine**

AFDD 1-3	<i>Leadership and Command (forthcoming)</i>
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## **Law**

AFI 51-602	<i>Boards of Officers</i>
AFI 51-201	<i>Administration of Military Justice</i>
AFI 51-202	<i>Nonjudicial Punishment Guide; Manual for Courts-Martial, United States, 2000 ed.</i>
AFI 51-502	<i>Personnel and Government Recovery Claims</i>
AFI 51-503	<i>Aircraft, Missile, Nuclear, and Space Accidents</i>
AFI 51-903	<i>Dissident and Protest Activities</i>
AFI 51-904	<i>Complaints of Wrongs under Article 138, Uniform Code of Military Justice</i>
AFI 51-1001	<i>Delivery of Personnel to United States Civilian Authorities for Trial</i>
AFPD 51-10	<i>Making Military Personnel, Employees, and Dependents Available to Civilian Authorities</i>

## **Personnel**

AFI 10-217	<i>Resource Augmentation Duty (READY) Program</i>
AFI 36-22	<i>Military Training</i>
AFI 36-601	<i>Civilian Career Management Program</i>
AFI 36-602	<i>Air Force Civilian Intern Recruitment</i>
AFI 36-704	<i>Discipline and Adverse Actions</i>
AFI 36-1203	<i>Administrative Grievance System</i>
AFI 36-1206	<i>Military Equal Opportunity and Treatment Program</i>
AFI 36-2002	<i>Regular Air Force and Special Category Accessions</i>
AFI 36-2103	<i>Individualized Newcomer Treatment and Orientation (INTRO) Program</i>
AFI 36-2104	<i>Nuclear Weapons Personnel Reliability Program</i>
AFI 36-2110	<i>Assignments</i>
AFI 36-2201	<i>Developing, Conducting, and Managing Training</i>
AFI 36-2247	<i>Planning, Conducting, Administering, and Evaluating Training</i>
AFI 36-2301	<i>Professional Military Education</i>
AFI 36-2406	<i>The Officer and Enlisted Evaluation System</i>
AFI 36-2502	<i>Airman Promotion Program</i>
AFI 36-2503	<i>Administrative Demotion of Airmen</i>
AFI 36-2605	<i>Air Force Military Personnel Testing System</i>
AFI 36-2606	<i>Reenlistment in the United States Air Force</i>
AFI 36-2705	<i>Discrimination and Sexual Harassment</i>
AFI 36-2706	<i>Military Equal Opportunity and Treatment Program</i>
AFI 36-2803	<i>The Air Force Awards and Decorations Program</i>
AFI 36-2903	<i>Dress and Personal Appearance of Air Force Personnel</i>
AFI 36-2906	<i>Personal Financial Responsibility</i>
AFI 36-2907	<i>Unfavorable Information File (UIF) Program</i>
AFI 36-2908	<i>Family Care Plans</i>
AFI 36-2909	<i>Fraternization and Professional Relationships</i>
AFI 36-2910	<i>Line of Duty (Misconduct) Determination</i>
AFI 36-2911	<i>Desertion and Unauthorized Absence</i>
AFI 36-3002	<i>Casualty Services</i>
AFI 36-3003	<i>Military Leave Program</i>

AFI 36-3206	<i>Administrative Discharge Procedures for Officers</i>
AFI 36-3207	<i>Separating Commissioned Officers</i>
AFI 36-3208	<i>Administrative Separation for Airmen</i>
AFI 37-131	<i>Air Force Freedom of Information Act Program</i>
AFI 37-132	<i>Air Force Privacy Act Program</i>
AFCAT 36-2223	<i>USAF Formal Schools</i>
AFPAM 36-2618	<i>The Enlisted Force Structure; Manual for Courts-Martial</i>
AFPD 36-6	<i>Civilian Career Management</i>
AFPD 36-24	<i>Military Evaluations</i>

### **Public Affairs**

AFI 35-101	<i>Public Affairs Policies and Procedures</i>
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### **Religion**

AFI 35-53	<i>Accommodation of Religious Practices</i>
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### **Reports of Survey**

AFI 23-220	<i>Reports of Survey for Air Force Property</i>
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### **Safety**

AFI 91-202	<i>The US Air Force Mishap Prevention Program</i>
AFI 91-204	<i>Safety Investigations and Reports</i>
AFI 91-301	<i>Air Force Occupational and Environmental Safety, Fire Protection, and Health (AFOSH) Program</i>
AETCPAM 91-203	<i>AETC's Squadron Commander's Safety Pamphlet</i>
AFPAM 91-215	<i>Operational Risk Management (ORM) Guidelines and Tools</i>

### **Security**

AFI 31-204	<i>Air Force Motor Vehicle Traffic Supervision</i>
AFI 31-206	<i>Security Forces Investigations Program</i>
AFI 31-210	<i>The Air Force Antiterrorism (AT) Program</i>
AFI 31-213	<i>Armed Forces Disciplinary Control Boards and Off-Installation Liaison and Operation</i>
AFI 31-401	<i>Information Security Program Management</i>

### **Special Investigations**

AFI 71-101	<i>Criminal Investigations, Counterintelligence, and Protective Service Matters</i>
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AU-2  
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*Air University Press Team*

*Chief Editor*  
George Porter

*Copy Editor*  
Sherry Terrell

*Cover Art and Book Design*  
Susan Fair

*Illustrations*  
Steve Garst

*Composition and  
Prepress Production*  
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